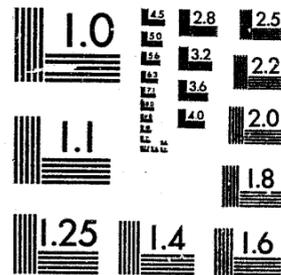


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2/12/86

THE IMPACT OF OBJECTIVE PAROLE CRITERIA  
ON PAROLE RELEASE RATES AND PUBLIC PROTECTION

FINAL REPORT TO THE  
GENERAL ASSEMBLY OF IOWA

An Analysis of the Application of  
the "Parole Guidelines System" to Parole  
Release Decision-Making

Statistical Analysis Center  
Office for Criminal and Juvenile Justice Planning  
Office for Planning and Programming  
State of Iowa

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PREFACE

Early in 1981, the Iowa Board of Parole began considering "objective parole criteria" in its formal release deliberations. These criteria consisted of statistical evaluations of the threat to society posed by parole candidates based on past patterns of recidivism for similar offenders released on parole in this state. This "risk assessment" process was developed by the Iowa Statistical Analysis Center in the Office for Planning and Programming as a means of assisting the Board to increase paroles without increasing the threat to society posed by release on parole, and as a vehicle for reducing the burden of serious crime attributable to parolees. In late 1980, the SAC developed a system whereby the statistical risk assessment information could be made directly relevant to individual parole decisions. This structure was given the name "Parole Guidelines System" in accord with similar efforts in Oregon and in the Federal prison system.

This report is filed in response to the mandate given in H.F. 849, as passed by the 1981 session of the Legislature, which requires the Statistical Analysis Center to report to the General Assembly on the impact of the use of the objective parole criteria on parole rates and risk to society.

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## INTRODUCTION

Early in 1981, state officials and members of the General Assembly faced a perplexing dilemma: during the preceding two years, the state's prison population had risen by 18%, from 2099 to 2479, and there were few indications of any abatement in the upward trend. Based in large part on a 12% increase in total prison admissions from 1977-78 to 1979-80, the Department of Social Services was projecting a further increase in the population to over 2800 by the end of 1982. In consideration of the 16% increase in reported crime from 1977-78 to 1979-80, there was every indication that the population increase was being fueled by a spiralling crime rate, with no apparent relief in sight. This was buttressed by the existence of a similar national trend, and by new emphasis nationwide on punishment as a goal of imprisonment.<sup>1</sup>

As had been the case in similar situations going back to the 1976 session, the General Assembly faced the spectre of new prison construction. Previously, short-term solutions, including the re-opening of closed facilities and the modification of mental health units to house prison inmates, had served to meet the continuing crisis. Now, the alternatives were diminishing and the scope of the crisis appeared to be expanding.

With this dismal scenario squarely in sight, the Corrections and Mental Health Appropriations Subcommittee of the General Assembly began deliberations concerning possible alternatives for alleviating the crisis. Considering past behavior in similar situations, the legislature appeared most likely to select from among the following alternatives:

- 1) construction of one or more additional prison facilities;
- 2) modification of additional existing facilities for use as prison space;
- 3) further expansion of the state's community-based corrections system.

Since previous legislative actions of the second and third type had apparently not provided a long-term solution, new construction became a distinct possibility, despite previous commitments by the Legislature and Governor to avoid new construction if at all possible.

As indicated above, the Department of Social Services was projecting further substantial increases in population, based in large part on continuing increases in prison admissions. On the surface of things, there did not appear to be any reason for optimism, or any other realistic alternatives for legislative action beyond the three mentioned above.

However, in a report provided by the state Statistical Analysis Center (SAC), the nature of the problem was cast in a somewhat different light. In testimony before the Corrections and Mental Health committee, the SAC presented the following findings:

<sup>1</sup> This was evidenced in Iowa by a new system of mandatory sentences which took effect in January, 1978, ushering in new types of punishment for violent, repeat, and drug offenders.

- 1) The bulk (79%) of the increase in the prison population during 1979-80 was due to a reduced rate of parole release rather than to an increase in prison admissions. Between 1978 and 1980, the number of parolees released from state institutions dropped from 47.4 per month to 33.6, or by 29%.
- 2) The 12% increase in prison admissions from 1977-78 to 1979-80 was due in large part (86%) to an increase in admissions of eventual shock probationers. Since such offenders serve only up to three months, their impact on the prison population is much less than their absolute numbers. Thus the 12% increase in admissions could not be used to project a corresponding population increase.<sup>1</sup>
- 3) The reduction in the parole release rate had resulted in only a very marginal benefit in increased public protection, especially in light of the relatively small percentage of total crime in the state that could be traced to released prisoners.
- 4) Based on recidivism research conducted in Iowa between 1975 and 1980, statistical evidence could be used to accurately predict the degree of potential threat to society posed by a given parole candidate. With the assistance of a formal "risk assessment" device developed by the Statistical Analysis Center, it would be possible for the Board of Parole to return the parole rate to former levels while simultaneously improving public protection. This could be accomplished by extending the time served for the worst risks and reducing it for the best.

These findings and their implications stood in stark contrast to the weight of previous evidence, and suggested a whole new avenue of approach to the problem. In essence, the difficulty was not an upturn in admissions, but rather a downturn in releases. The population was increasing because paroles were not being maintained at a high enough level to meet previous admissions.

It is not clear now, nor was it clear at the time, just what caused the parole release rate to drop by about one-fourth during 1979-1980. In testimony before a legislative committee, the parole board chairman expressed a general lack of awareness of any change in parole policy, but defended the "apparent" change based on public sentiment in favor of longer prison terms. In this regard, it is worth noting, also, that there had been a turnover of three in the then five-member constitution of the Board during the two-plus years prior to the 1981 session.

In consideration of all the evidence provided to it, the Corrections and Mental Health Committee chose to support several courses of action, including:

- 1) funding for further renovation at the Mount Pleasant mental health facility and for construction at the Iowa Security Medical Facility;
- 2) continued adequate support for community-based corrections programs;
- 3) the implementation of a prison population cap to limit population growth, with an emergency release mechanism to ensure the integrity of the cap; and

<sup>1</sup> If shock probation cases, which contribute very little to the population count, are excluded, movement statistics provided by the Department of Social Services show that prison admissions jumped by only 48, from 2630 to 2678, between 1977-78 and 1979-80.

- 4) development and use of "objective parole criteria," in the form of statistical risk assessment information, to help the Board of Parole increase the parole release rate without increasing the threat to society posed by those released.

In passing H.F. 849, the legislature set a prison population cap of 2650,<sup>1</sup> and gave the Board of Parole clear direction to begin returning the parole release rate to former levels in order to keep the population below that cap.<sup>2</sup> Further, the legislation required the Statistical Analysis Center to monitor the Board of Parole's use of objective parole criteria and report to the General Assembly by January 1, 1983. It is precisely the intent of this report to fulfill that obligation. Specifically, the impact of the Board's use of the criteria on the parole rate and on public protection will be discussed.<sup>3</sup>

<sup>1</sup> Which was increased to 2780 effective July 1, 1982 to reflect the addition of 130 to the capacity of the prison system.

<sup>2</sup> Prior to legislative action on this matter, the Board of Parole had requested that the statistical risk assessment information be made available for their consideration. Thus, the Board was not "forced" into use of the objective parole criteria.

<sup>3</sup> The "Parole Guidelines System" is the specific structure by which the "objective parole criteria" are made relevant to parole decision-making.

#### SUMMARY OF FINDINGS AND RECOMMENDATIONS

- 1) Through the combined actions of the Iowa General Assembly and the Iowa Board of Parole, a prison overcrowding crisis of major proportions has been avoided. In early 1981, the General Assembly passed H.F. 849, which set a cap on the prison population, and called on the parole board to increase the parole rate without further endangering the public. The parole board responded in dramatic fashion by increasing paroles by over 50% -- from 910 during 1979-80 to 1370 during 1981-82. Had paroles not increased during 1981-82, the state would have been faced with a 28% increase in prisoners.<sup>1</sup> Instead, the population increase was cut to 14%, and a serious overcrowding situation was avoided.<sup>2</sup> With an increase in the parole rate to former levels,<sup>3</sup> a stabilization in admissions over the last two years,<sup>4</sup> and a dramatic reduction in reported crime during 1982,<sup>5</sup> there is strong evidence to suspect that the continuing prison population crisis in Iowa may be nearing an end. If so, then the actions of the Legislature and the parole board could well have prevented the unnecessary construction of a new state prison.

<sup>1</sup> Had paroles remained at the 1979-80 level, the population at the end of 1982 would have been near 3200, or 300 more than the current design capacity of the prison system listed by the Department of Social Services.

<sup>2</sup> The 50% increase in paroles would have kept the population stable at around 2500 had prison admissions not jumped unexpectedly by 17%. During 1979-80, 79% of the population increase of 380 was due to a reduced parole rate -- increased admissions not being a significant factor.

<sup>3</sup> The parole rate fell from 59.0% during 1977-1978 to 43.4% during 1979-80, but then rebounded to 55.3% during 1981-82.

<sup>4</sup> The 17% increase in admissions during 1981-82 appears to have been a "quantum leap" or short-term phenomenon, as the quarterly trend during the last 21 months has been quite stable.

<sup>5</sup> The Department of Public Safety has reported a 17.4% decrease in reported violent crime and a 13.0% decrease in reported property crime during the first nine months of 1982. These are the first significant decreases since 1977.

- 2) The 50% increase in paroles during 1981-82 has been achieved with no significant increase in threat to society.<sup>1</sup> Based on a generally tougher policy toward violent crime,<sup>2</sup> and on improved screening of potentially dangerous offenders,<sup>3</sup> the rate of new violence among parolees has dropped by 35%. Because of the observed reduction in violence, the typical parolee today is about 17% less of a threat to society than was the case just two years ago. The popular sentiment that the cap has forced the early release of dangerous criminals is unfounded.
- 3) While violence among parolees is perceived to be a serious problem, the statistical evidence does not support the validity of this belief. With the 35% reduction in the rate of new violence mentioned above, just 23 or 3.0% of the 769 parolees released from state prisons during 1982 will be expected to eventually return to prison for new violent crimes committed while on parole.
- 4) Despite the fact that new violence among paroles is infrequent, the potentially violent criminal can be identified with a high level of accuracy. Based on the results of several statistical studies undertaken in Iowa,<sup>4</sup> 88% of the violent crimes charged to ex-prisoners can be traced to a predictable group consisting of just 28% of those released. Members of this group of potentially violent offenders are now being routinely identified as part of a formal evaluation process called "risk assessment." Available evidence suggests that this process has contributed significantly to the 35% reduction in the rate of new violence among parolees. Changes in the criminal code aimed at incapacitation of the potentially violent can help to further reduce the burden of violent crime committed by ex-prisoners, without increasing the prison population.<sup>5</sup> Specifically recommended alternatives include:
- a) the change to a one-for-one "good conduct time" system, which will create potentially longer terms for most of the potentially dangerous group,

<sup>1</sup> The volume of new violent crime charged to parolees has actually decreased by 1% despite the 50% jump in paroles. There has, however, been a 9% increase in the rate of property crime among parolees, due in part to pressure to release individuals who do not constitute a violence threat. This increase in the rate of property crime, combined with the increased number of paroles, resulted in a 65% increase in the incidence of property crime by parolees. Assessing the total amount of new crime by parolees, and using a system which weights crimes according to their seriousness, there was a 25% increase in threat to society posed by parolees because of the 50% increase in paroles. The increase in the incidence of property crime, however, is not judged to be serious as far as general public safety is concerned due to the extremely small percentage of total property crime that can be traced to parolees.

<sup>2</sup> Between 1980 and 1982, the percentage of parole grants that were of violent offenders dropped from 36% to 23%. Paroles of those convicted of robbery dropped from 17% to 10%.

<sup>3</sup> During the bulk of 1981-82, the Board of Parole was being assisted by the Parole Guidelines System, which provides "general" and "violence" risk assessments on parole candidates based on statistically proven predictors of recidivism.

<sup>4</sup> By the Iowa Statistical Analysis Center.

<sup>5</sup> With better identification and incapacitation of the potentially violent, many other non-dangerous offenders can be released sooner than normal.

- b) mandatory release supervision for all released prisoners to reduce the pressure on the parole board to grant parole just to gain the advantages of release supervision, and
- c) submission of a copy of the pre-sentence investigation (PSI) to the parole board office on each committed offender,<sup>1</sup> and consideration by the parole board of all prior record information given in the PSI.<sup>2</sup>
- 5) An analysis of 559 offenders committed to Iowa prisons during 1981 suggests that 15-20% of committed prisoners could be safely placed in community corrections programs without compromising justice system goals and principles.<sup>3</sup> Various alternatives would appear feasible as means of reducing the extent of incarceration of this group, and in general to encourage more paroles of the best parole candidates:
- a) the provision of statistical risk assessments to judges as part of the pre-sentence investigation process,
- b) post-commitment screening and identification of good candidates for shock probation by the Division of Adult Corrections,
- c) in conjunction with b) above, the extension of the period for reconsideration of sentence of a convicted felon from 90 to 180 days,
- d) a program of "shock parole" aimed at the early parole of marginally committed offenders not granted shock probation,
- e) additional community residential corrections space to encourage expanded use of community alternatives for the marginally committed group,
- f) removal of the requirement of an annual parole interview for all parole candidates, to be replaced by a system of rules promulgated by the Board of Parole under Chapter 17A,<sup>4</sup> and
- g) a change in the "cap" criteria for early parole consideration in emergency situations, replacing the current criteria with a system of "exclusion" criteria to be developed by the Board of Parole,<sup>5</sup>

<sup>1</sup> Currently, many parole board files do not contain pre-sentence investigations, diminishing the ability to develop accurate risk assessments.

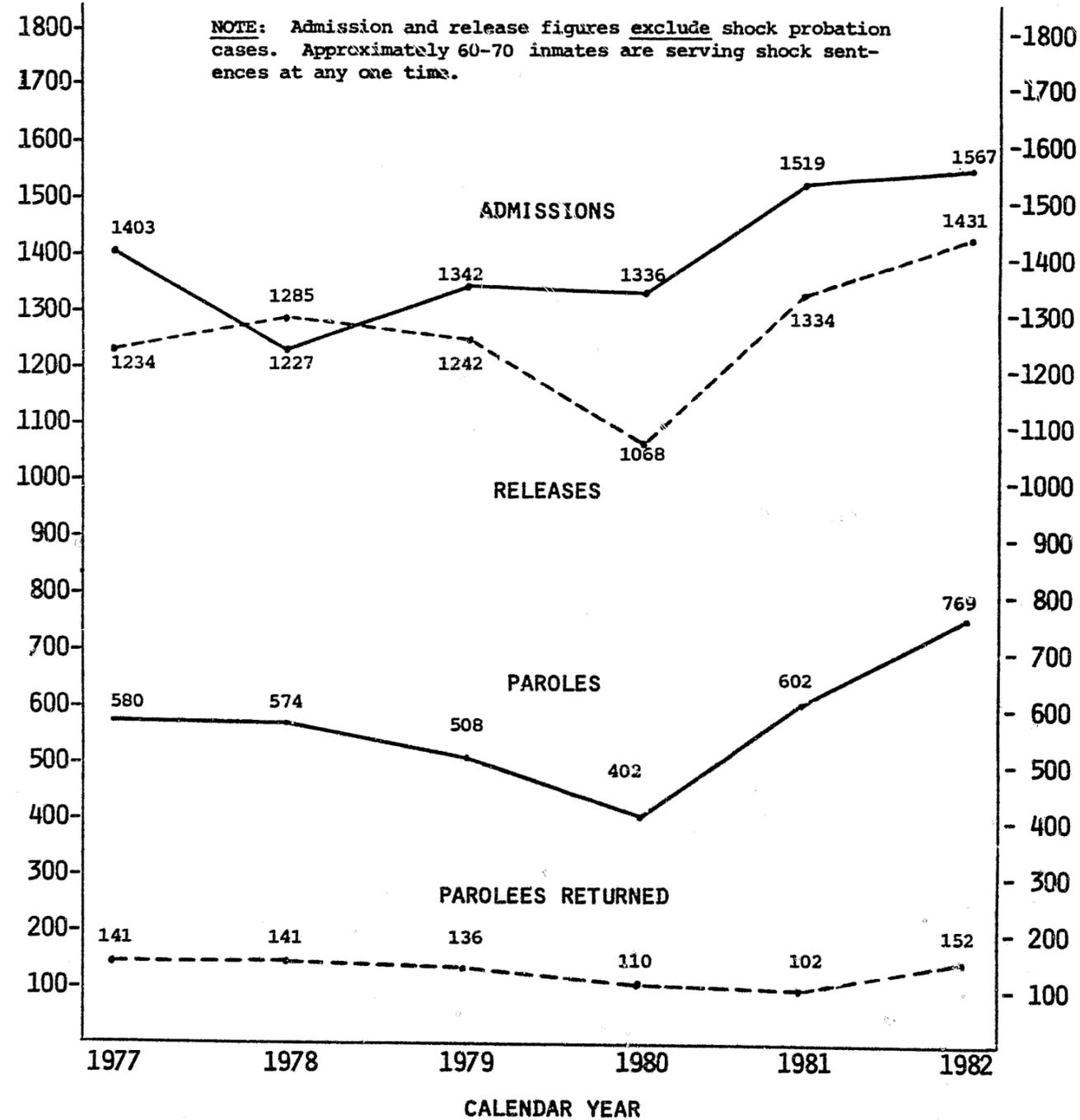
<sup>2</sup> The "dockets" examined by the Board often do not contain all of the prior record information given in the PSI.

<sup>3</sup> This analysis conducted by the Statistical Analysis Center examined a wide variety of factors related to the judicial decision to imprison, including current offense and sentence, past arrests and convictions, risk factors and violence potential, probation violation status, and other factors.

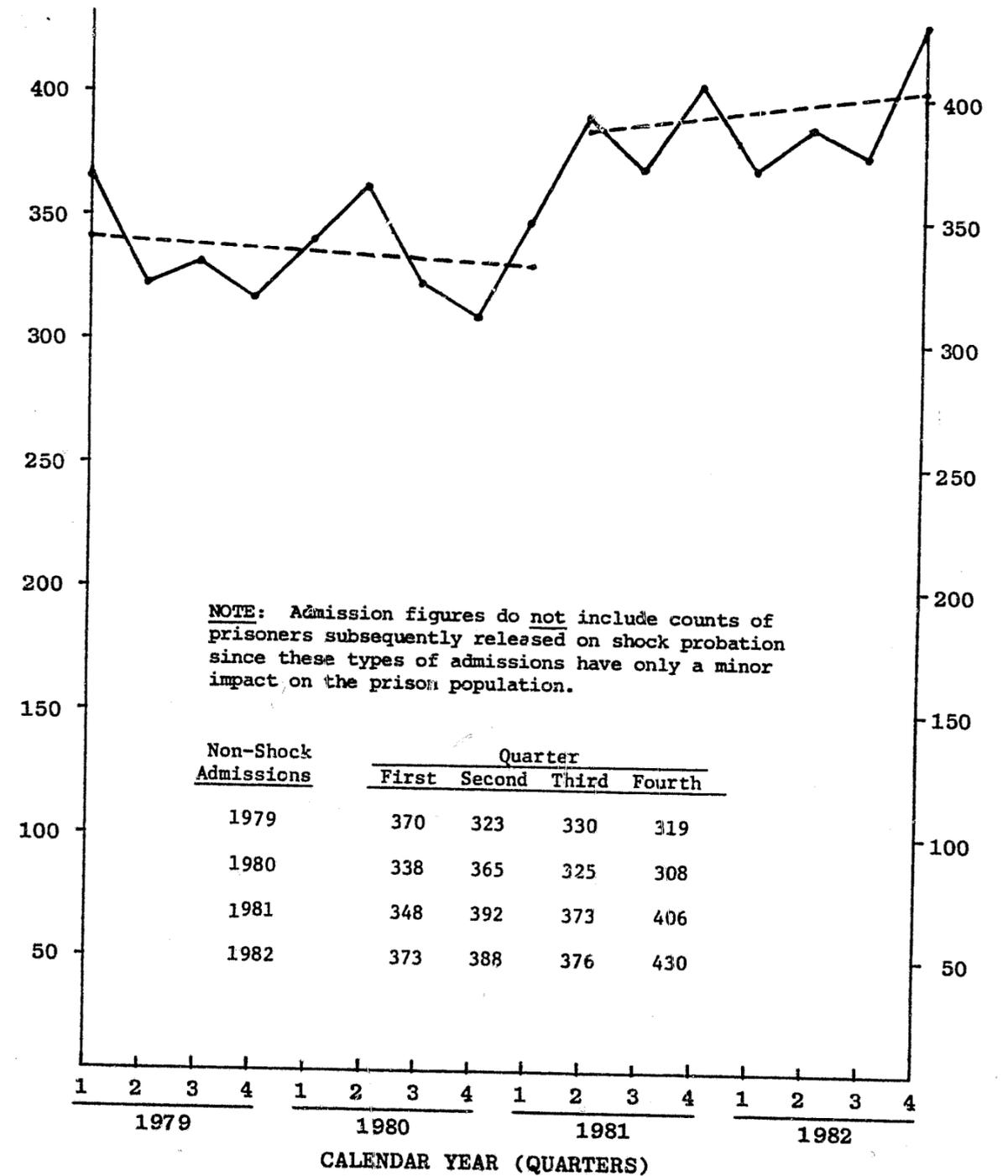
<sup>4</sup> This would allow the Board to time parole interviews in the manner most conducive to the granting of paroles to the best parole candidates.

<sup>5</sup> Experience dictates that the current criteria identify a very poor parole candidate. The exclusion criteria would specify which offenders should not be routinely considered in an emergency situation.

**PRISON POPULATION MOVEMENT  
STATE OF IOWA  
1977-1982**



**TREND IN PRISON ADMISSIONS  
STATE OF IOWA  
1979-1982**



## BACKGROUND INFORMATION

In the State of Iowa the method of criminal sentencing is the indeterminate sentencing system, whereby judges sentence convicted offenders to prison, and the Iowa Board of Parole determines how much time inmates will serve -- within broad limits set by the Legislature. The judge sentences the offender to a maximum term of years,<sup>1</sup> which serves as the absolute upper limit on the time the individual could serve under any circumstances. Currently, these maximum terms are reduced for good conduct in prison to give the time the offender must serve unless parole is granted.

### Domain of Parole Discretion

Except in some cases of consecutive sentences and other rare situations, offenders receive maximum sentences of life, 25, 10, 5, or 2 years. The four non-life sentences are reduced for good conduct as follows:<sup>2</sup>

<u>Sentence</u>	<u>Reduced Sentence</u>
25 Years	10 Years, 4 Months
10 Years	4 Years, 8 Months
5 Years	2 Years, 10 Months
2 Years	1 Year, 4 Months

In most cases, the parole board then has the discretion to release the inmate at any time prior to the expiration of the reduced sentence, the exceptions occurring in situations of mandatory minimum sentences, which currently apply in less than 20% of cases.<sup>3</sup> When a mandatory minimum is applicable, the parole board cannot grant parole until the mandatory minimum expires. For example, if the offender receives a mandatory minimum of 5 years for use of a firearm in a forcible felony, this term is automatically reduced - under current statutes - to 34 months, after which the Board may grant parole.

In all cases other than Life sentences or mandatory minimums, the Board may parole an offender anywhere from the first day in prison to expiration of the reduced sentence. There are no further legal requirements set on the Board as to time-to-be-served other than those which require them to consider certain factors in the decision to parole.<sup>4</sup>

<sup>1</sup> Maximum sentences have been fixed by the legislature to correspond with the severity level of the offense, as follows: Class A Felony - Life, Class B Felony - 25 Years, Class C Felony - 10 Years, Class D Delony - 5 Years, and Aggravated Misdemeanor - 2 Years. The Code of Iowa also allows an "Habitual Offender" sentence of 15 Years.

<sup>2</sup> Reduced sentences can be increased in situations of institutional misconduct.

<sup>3</sup> The four categories of mandatory minimum sentences are a) Use of firearm in forcible felony - 5 years, b) Prior conviction for forcible felony - one-half the maximum term, c) Habitual Offender - 3 years, and d) Delivery of Controlled Substances (except marijuana) - one-third the maximum term. Presently, these minimum terms are reduced for good conduct in prison.

<sup>4</sup> See Section 906.5, Code of Iowa.

## Parole Division Factors

Historically, and in concert with common practice among parole boards across the country, the Iowa Board of Parole has considered the following factors, among others, in determining the suitability and timing of parole: 1) the circumstances of the offense and the resulting criminal conviction and sentence, 2) the offender's prior record of arrests and convictions, 3) other background characteristics of the individual, 4) institutional behavior and participation in prison programs, 5) release planning, and 6) the perceived risk to society of releasing the individual on parole -- the latter based on a total evaluation of all relevant factors in the case. Available evidence suggests that the Board considers all of the following goals of incarceration in determining how much time inmates should serve:<sup>1</sup>

- 1) Punishment or retribution, now frequently referred to as "just deserts," or time served commensurate with the seriousness of the current offense, and to a lesser extent of past offenses.
- 2) Deterrence, or the setting of examples for other potential offenders as to the risks involved in committing criminal offenses.
- 3) Incapacitation, or the direct prevention of criminal activity through isolation of the offender away from society. "Selective" incapacitation involves the identification and detention of those most likely to commit serious crimes if released.
- 4) Rehabilitation, or the reduction of future criminal behavior through the combined efforts of the inmate and the prison system in correcting for deficiencies that associate with criminal propensity.<sup>2</sup>

Because "just deserts" and "incapacitation" are the most direct and readily measurable of the four goals listed above, these two provide a workable basis for a continuing examination of parole policy.

### Statistical Studies of the Parole System

Over the last several years the Statistical Analysis Center has been heavily involved in the study of parole policies and practices in Iowa, and with particular regard to the two goals highlighted above. Recognizing the continuing prison population pressures faced by State officials, and the ever-present need to protect society, the SAC has endeavored to develop statistical tools to assist the Board of Parole in making improved use of existing prison space. To wit, the envisioned goal is to simultaneously reduce the extent of:

- 1) over-incarceration of lower risk offenders, i.e., the incarceration of those perceived to be dangerous or higher risk who -- in fact -- are not, and

<sup>1</sup> This is not meant to suggest that the four listed goals are the only ones considered by the Board of Parole.

<sup>2</sup> Recent thinking in corrections has gravitated toward the idea that rehabilitation can occur only if the offender is willing to make a change for the better. Thus, rehabilitation programs are made available for those who desire them.

- 2) the under-incarceration of higher risk offenders, i.e., the release of those perceived not to be dangerous or higher risk who -- in fact -- are.

Two parallel studies were conducted to this end, including:

- A) A statistical analysis of parole decision-making and time-served patterns in Iowa to provide a workable understanding of existing parole policy and operation of the "desert" principle.
- B) A statistical analysis of the characteristics of released prisoners in relation to the threat they pose to society, as measured by the frequency and seriousness of new criminal charges acquired while on parole.

Under Study A, time-served patterns for offenders released by parole or expiration of sentence between 1973 and 1977 were carefully examined to identify the factors that best account for variations in time served. This study demonstrated that four key factors explain most of the variation in the time an offender will serve prior to parole:

- a. The length of the maximum indeterminate sentence,
- b. The nature of the convicting offense, and particularly the presence of violence and/or personal victimization,
- c. Past commitments to state or federal institutions, and
- d. Institutional misconduct.

Statistical measures of these variables as they associated with time served were formulated and systemitized in the manner of the "descriptive" guidelines implemented in Oregon, Minnesota, and by the U.S. Parole Commission.<sup>1</sup> This "description" of past parole practice served as a standard against which any possible changes in parole policy could be measured.

Study B, having spanned the five-year period 1975-1980, was much more involved, and resulted in the development of the Iowa Offender Risk Assessment Scoring System. This system was demonstrated to be 70-80% accurate in assessing the threat posed to society by released offenders.<sup>2</sup> Approximately 3000 man-hours and \$300,000 were dedicated to this project over the five-year period in an effort to achieve the most benefits possible from statistical prediction. The result was a system which, when supported by the seasoned clinical judgments of judges and parole board members, could help the State make much more efficient use of existing prison space -- at least to the extent of approaching the goal of greatest possible protection for the least cost.

<sup>1</sup> See Bohnstedt and Geiser, Sentencing and Parole Release Sourcebook, American Justice Institute, June, 1979.

<sup>2</sup> The degree of predictive accuracy exhibited by the Iowa system is -- as far as the Statistical Analysis Center is aware -- completely unprecedented in the field of recidivism prediction. In fact, no other system examined by the SAC could demonstrate much more than 50% of the accuracy exhibited by the Iowa system.

#### Parole Guidelines System

In late 1980, the results of Studies of A and B were combined to provide a workable tool for assisting the Iowa Board of Parole in achieving the aforementioned goal of more efficient use of prison space. The final product of these efforts was the Parole Guidelines System.

The results of the two studies were exhibited in such a way as to clearly demonstrate that the use of The Iowa Offender Risk Assessment Scoring System by the Iowa Board of Parole could improve the Board's ability of "screen for risk," i.e., to release "good risks" more quickly and to further incapacitate the "worst risks."<sup>1</sup> The Parole Guidelines System reflected an attempt by the Statistical Analysis Center to make the risk assessment technique workable in a parole decision-making environment. The SAC realized that without formal guidelines as to how the risk assessment might be used in individual cases, the Board would have difficulty in applying the information. Accordingly, a matrix was designed that indicated a guideline range of time-to-be-served prior to parole based on the risk assessment rating and the "desert" categorization of the offender. The latter was based - in turn - on current offense and sentence and past commitment record, and drew directly from the results of Study A. As such, it was developed specifically to mirror as closely as possible the Board's consideration of desert factors.

The guideline ranges were graded so as to lengthen the incarceration of higher risk offenders, and reduce the incarceration of lower risk offenders, while maintaining longer terms for more serious offenders, i.e., those "deserving" such terms. In the overall scheme of the guidelines, the risk and desert factors were given about equal weighting in setting the guideline terms, to provide what was viewed as a desirable balancing of the two factors. Using a simulation model of parole decision-making, the SAC estimated that paroles could be increased by at least 20% while reducing the threat to society posed by parolees by at least the same amount, under the "ideal" circumstance of complete adherence to the guidelines. In practice, however, the impact of the guidelines would be expected to vary from these estimates positively or negatively on either factor depending on the Board's use of the system.

#### Guideline Implementation

In early 1981, the chairman of the Board of Parole specifically requested that the Statistical Analysis Center begin providing the guideline information on actual parole candidates. This was prior to the presentation of the above estimates before the Corrections and Mental Health Appropriations Subcommittee of the Iowa General Assembly -- and thus prior to the passage of H.F. 849, which required the Board to consider objective parole criteria in making parole decisions.

<sup>1</sup> The SAC had no evidence that the Board was making poor decisions or -- in fact -- any worse decisions than any other releasing authority. Thus, no criticism of the Board was - or is - intended by the above statements. In fact, the statistical tool would do no more than add to the existing ability of the Board to identify the worst risks in many cases.

Accordingly, in the month of March, 1981, a first attempt was made to implement the system. In addition to providing the guideline information, the system's developer accompanied the Board of Parole to several of the correctional institutions to assist the Board in beginning to make use of the new system.

Based on this first month's experience, some changes were made in the system and a more formal implementation was attempted in April, 1981. This time, actual recommendations were given to the Board as to the suitability of parole, or work release, or no release, based on a comparison of time actually served and the specific guideline term. Again, the developer accompanied the Board to the institutions and assisted in their application of the guidelines. Further, the second month's results led to more changes in the system and to what was to be a relatively stable form of the guidelines over the coming months. In addition, the developer gained a much better understanding of, and appreciation for, the complexity of parole decision-making in accompanying the Board during the first two months, and in studying the resulting decisions.

Between April, 1981 and December, 1982, over 2500 parole recommendations were made in conjunction with the parole guidelines project, and over 3000 decisions were made by the parole board in cases where guideline information was available. Further, the information has been available in a large but undetermined number of decisions made by the State Work Release Committee over the same period.

It is the purpose of this report to summarize SAC findings concerning the impact of the guidelines system on the parole decision process and to generally critique changes in parole policy and practice since the implementation of the new system.

#### OFFENDER RISK ASSESSMENT GENERAL OBSERVATIONS

The phenomenon of offender risk assessment, i.e., predicting whether or not an offender might prove dangerous to the general public if released, has historically presented itself as a perplexing problem in criminal justice. Some have held the belief that risk assessment is simple and straightforward; one just has to separate the "good guys" from the "bad guys." Others have thrown up their hands and professed the belief that accurate prediction is impossible. In reality, the truth lies somewhere in between.

#### Statistical Predictors of Recidivism

To the extent that judges and parole boards have attempted to deny release to the worst risks, they have experienced a degree of success. Many of the fairly obvious indicators of seriousness in a case, such as the extent or severity of the prior record, prove also to be predictors of recidivism. However, other factors, such as the age of offender and the age at first onset of criminality, have proven in most statistical studies to be good predictors of recidivism, yet have traditionally been given very little weight by decision-makers. Recently, a number of jurisdictions around the country have begun quantifying such statistically proven predictors of recidivism for purposes of improving the "screening for risk" process inherent in release decision-making.

#### Prediction Studies

Fortunately, due to the availability of a large computerized data base developed in conjunction with a statewide study of community corrections programs, Iowa researchers have been able to carefully study the question of recidivism prediction. Between 1974 and 1979, the Iowa Department of Social Services -- mainly through its Bureau of Correctional Evaluation -- collected detailed offense, offender, and recidivism data on 15,724 offenders placed on adult probation or parole or in adult community residential corrections programs in the state. Using the State's IBM computer facility, the Bureau of Correctional Evaluation, and then the Statistical Analysis Center beginning in March, 1978, conducted approximately five years of research into risk assessment methods. As previously mentioned, the final product of this effort was the Iowa Offender Risk Assessment Scoring System, which was developed to apply to any individual arrested for, or convicted of, a criminal offense in the State of Iowa. Accordingly, it could then be used by judges, the parole board, and other release decision-makers in criminal justice.

The system provided two measures of offender risk, including a measure of the general risk of recidivism, based on the calculated overall threat of new criminal offenses in general, and a second measure of the specific threat of new violence. The system was developed from a data base of 6,337 cases, and after being put into final form, was validated or checked against a completely separate sample of 9,387 offenders.<sup>1</sup>

<sup>1</sup> As discussed below, further validation and refinement are under way.

An in-depth discussion of the development and validation of the system is provided in the report The Iowa Offender Risk Assessment Scoring System - Volume I: System Overview and Coding Procedures from the Statistical Analysis Center. This report carefully documented the philosophical base, coding procedures, and validity of the risk assessment system, and thus paved the way for consideration of possible implementation.

#### Statistical Validity of Risk Assessment Methods

As discussed above, every effort was made to achieve unprecedented levels of accuracy in the new risk assessment system. Research reports summarizing the validity of systems developed elsewhere indicated that other researchers were able to improve on chance by from 20% to 40% in predicting recidivism.<sup>1</sup> Thus the Iowa researchers attempted to achieve improvements significantly greater than 40%. Between 1975 and early 1977, the staff was able to develop a system that improved on chance by approximately 50%. After meeting much opposition in the state to the concept of statistical prediction, the staff then felt the need to make the system so very accurate that no reasonable argument could be made against its implementation. It was thus "back to the drawing board," and in another three-and-one-half years, a new and more refined system was put in final form and validated as indicated above. This system was demonstrated to improve on chance by 70-80%, depending on precisely what was to be predicted. Further, it incorporated a measure of the risk of violence, which was missing in the original version, and which only the State of Michigan had in place at the time. Both the general and violence risk components of the system achieve about the same level of accuracy, yet unexpectedly, the violence prediction requires fewer data elements and offers more easily explained predictive methods.

#### Sources of Accuracy in Prediction

There are many reasons why the Iowa Offender Risk Assessment Scoring System offers unprecedented levels of accuracy in recidivism prediction. Some of those reasons are as follows:

- 1) The system covers a much broader range of "risk levels," picking up on the empirically-proven fact that recidivism rates, and propensities to commit certain types of crimes, vary widely. The Iowa system does not group together offenders who are really much different in risk.
- 2) The system was developed from perhaps the largest data base ever made available to a recidivism researcher. Quite fine distinctions in prediction could be made due to the availability of enough cases to support such distinctions.
- 3) The staff did not feel limited by previous research done in the area. New methods, such as configural analysis, were incorporated with well-established techniques to maximize predictive ability.
- 4) The staff was not hesitant to incorporate offender age and other "semi-soft" factors such as age at first arrest, number of prior arrests, and socio-economic factors, which are not clearly associated with "desert," but yet are among the best predictors.

<sup>1</sup> Based on the measure of accuracy called the "Mean Cost Rating," or MCR.

#### The Significance of Risk Assessment

As a general observation on the validity and utility of the Iowa risk assessment system, suffice it to say that the system identifies and categorizes a wide range of "types" of convicted offenders who are either much higher risk than the typical offender, or much lower risk than that offender. Secondly, only a computer could possibly sort out and properly classify these various types to minimize, to the 20-30% level, the extent of error in prediction. It is the view of the staff, that neither the human mind nor a relatively simple statistical system could achieve the proper discrimination of the wide range of risk-related factors necessary to achieve much more than 40% accuracy in recidivism prediction. Actual analysis of recidivism rates in relation to the decisions of judges and parole boards clearly document that they have not historically been able to achieve higher levels of accuracy on their own. It is precisely the intent of efforts to implement the Iowa system, to help these decision-makers improve on their existing ability to assess risk. Further, it is the view of the staff that "clinical" and "statistical" prediction can and should complement one another to the extent that existing screening processes can be improved substantially. Specifically, the clinical method can isolate and correct for errors in the statistical method due to lack of 100% accuracy, and vice versa. No statistical system will ever totally replace a clinical system due to the human element in decision-making and the lack of an infallible understanding of human behavior dynamics.

OFFENDER RISK ASSESSMENT  
STATISTICAL VALIDITY

The purpose of the Iowa Offender Risk Assessment Scoring System is to represent as accurately as possible the relative degrees of threat posed to society by the release of convicted offenders. As such, it was developed to associate with both the frequency and seriousness of new criminal charges against those released. The system was constructed based on analyses of recidivism patterns among 6,337 offenders released to the community during 1974-1976, and was validated against a separate sample of 9,387 offenders released during 1977-1979.

Inasmuch as the total sample of 15,724 cases contained approximately 2400 parolees from state institutions, the staff was able to demonstrate the validity of the system for predicting recidivism among parolees. This validation formed the rationale for advocating use of the system to improve risk assessment screening by the parole board. However, since the offenders represented in this original study all completed parole -- successfully or unsuccessfully -- between 1974 and 1979, the staff felt the need to conduct a validation study of the system against a more recent sample of cases. Also, a perceived weakness of the original study was that the sample of ex-prisoners contained parolees only, excluding those released from prison by expiration of sentence.

Recent Validation Study

Accordingly, during the past year, the Statistical Analysis Center has been undertaking a new validation study that covers both types of released prisoners, and that deals with much more recent information.

The goal of this study is to eventually collect the desired information on 1000 prisoners released during the period 1978-1980. Further, the intent of the staff has been to maximize the accuracy of data collected by devoting great care in data collection, and by limiting the study to cases where good information was available.<sup>1</sup> In addition to the data necessary to validate the existing structure, a much wider range of data have been collected to allow eventual refinement of the system. It is hoped that the refined system will be even more accurate and useful than the present system.

To-date, information has been collected on 365 males released by parole or expiration of sentence during 1978 and 1979. Each of these individuals was rated according to the existing risk assessment system, and then a follow-up study was conducted for this sample of cases to provide some preliminary conclusions in time for inclusion in this report. Rapsheets were obtained from the Division of Criminal Investigation in late 1982, and all indicated new charges and dispositions were carefully recorded, including returns to prison of parole violators.

Based on the dates of release of those in the sample, the follow-up period for this study was 46 months. In all, the staff recorded information on 452 new criminal charges acquired by members of the sample. The general types of these charges were as follows:

<sup>1</sup> To this point, a case has been included only if a pre-sentence investigation was available in the inmate's historical file maintained in the parole board office.

Types of Charges in Follow-up Period

	<u>N</u>	<u>%</u>
Against Persons .....	90	19.9%
Against Property .....	166	36.7%
Drug-Related .....	26	5.8%
Alcohol-Related.....	78	17.3%
Weapons-Related.....	15	3.3%
Against Justice/Authority.....	55	12.2%
Miscellaneous .....	<u>22</u>	<u>4.9%</u>
	452	100.0%

Considering all types of new charges, ranging from simple misdemeanors to violent felonies, 177 or 48.5% of the group members were charged with new criminal offenses during the follow-up period. Also, 145 or 39.7% had new charges for "major" crimes (felonies or aggravated misdemeanors), and 103 or 28.2% returned to prison. In all, the 452 new charges included 309 major charges. Of the latter, 73 were for crimes against persons committed by 51 or 14.0% of the sample. In terms of rates, there were 124 total new charges per 100 offenders, including 20 major crimes against persons and 64 major crimes not against persons.

Risk and Recidivism

While a general overview of recidivism for our sample of ex-prisoners is interesting, our main purpose in this section of the report is to illustrate the validity of the risk assessment system for predicting recidivism, and especially the resulting threat to society.

To this end, we examined the relationship between recidivism results and the risk level of the offender. In an effort to keep this presentation simple, the staff has reduced the 18 categories of the system down to six highly descriptive levels combining both the general and the violence risk assessments.<sup>1</sup> These categories account for the bulk of the predictive ability of the system, and thus we lose very little in making this simplification:

<u>Offender Risk Level</u>	<u>Cases</u>	<u>% Total</u>
Very Poor Violence Risk	55	15.1%
Very Poor Property Risk	25	6.8%
Poor Violence Risk	49	13.4%
Poor Property Risk	95	26.1%
Good Risk	97	26.6%
Very Good Risk	<u>44</u>	<u>12.1%</u>
	365	100.0%

<sup>1</sup> For those familiar with the Iowa system, the groupings are as follows: Very Poor Violence Risk (SR-SR or UH-SR), Very Poor Property Risk (SR-UH or SR-VH), Poor Violence Risk (violent offenders rated UH-UH or VH-UH), Poor Property Risk (non-violent offenders rated UH-UH, UH-VH, or VH-HM), Good Risk (H-IM, HM-IM, HM-VL, LM-IM, or LM-VL), and Very Good Risk (L-L, L-VL, VL-L or VL-N).

The table on the next page provides the desired overview of the validity of the risk assessment system. The table gives, for each of the six risk levels and for the total study group, the following items:

- a. Number of cases and percent of the sample.
- b. The number and percent returning to prison during the follow-up period, either as parole violators or on new sentences.
- c. The number and percent acquiring major new criminal charges (felonies or aggravated misdemeanors) during the follow-up period, the number of such new charges, and the number of charges per 100 offenders in the risk level.
- d. The number and percent acquiring new charges for major violent crimes during the follow-up period, the number of such new charges, and the number of charges per 100 offenders in the risk level.
- e. The percentage - distribution of total THREAT TO SOCIETY posed by offenders in the various risk levels, and the average THREAT RATING of those in each level.<sup>1</sup>

A careful examination of the table should demonstrate to the reader the high level of accuracy in prediction achieved by this system. Strong correlations are indicated between risk level and each of the four types of recidivism measures: 1) return to prison, 2) major new charges, 3) major new violence, and 4) threat to society. Three observations sum up the observed results:

- A. Offenders rated VERY POOR VIOLENCE RISK, VERY POOR PROPERTY RISK, or POOR VIOLENCE RISK constitute 35.3% of the sample, yet account for 79.1% of the total threat to society.
- B. Offenders rated VERY POOR VIOLENCE RISK or POOR VIOLENCE RISK constitute 28.5% of the sample, yet account for 87.7% of major new violence.
- C. Offenders rated GOOD RISK or VERY GOOD RISK constitute 38.7% of the sample, yet account for only 5.4% of the total threat to society.

The significance of these facts can be highlighted by these additional observations:

<sup>1</sup> The overall "threat" posed by the 365 offenders was determined by assigning points to new major charges based on the seriousness of the charge. Points varied from one (1) for aggravated misdemeanor driving offenses to 40 for crimes carrying life sentences. Slight adjustments were made for the nature of new sentences imposed, and further corrections were made for the length of time from release to the first new charge. (Note: This latter type of correction assumes that a new charge obtained more quickly after release poses a greater threat to society, which is a standard assumption in recidivism research.) The total THREAT was then calculated and distributed on a percentage basis according to risk level. Finally, the average threat per offender in a level was calculated as a THREAT RATING for that level. For the reader's convenience, points assigned to the various major charges are given in the appendix.

Follow-up Study of 365 Ex-Prisoners  
Released During 1978-1979, 46-Month Average Follow-up

OFFENDER RISK LEVEL	TOTAL CASES	RETURN TO PRISON	MAJOR NEW CHARGES		MAJOR NEW VIOLENCE		THREAT	
			Offenders	Charges	Offenders	Charges	% Total	Rating
Very Poor Violence Risk	55 (15.1%)	31 (56.4%)	41 (74.5%)	83 (151/100)	25 (45.5%)	34 (62/100)	37.2%	124
Very Poor Property Risk	25 (6.8%)	13 (52.0%)	16 (64.0%)	51 (204/100)	3 (12.0%)	3 (12/100)	13.9%	102
Poor Violence Risk	49 (13.4%)	19 (38.8%)	24 (49.0%)	58 (118/100)	17 (34.7%)	30 (61/100)	28.0%	105
Poor Property Risk	95 (26.1%)	27 (28.4%)	37 (38.9%)	74 (78/100)	4 (4.2%)	4 (4/100)	15.6%	30
Good Risk	97 (26.6%)	12 (12.4%)	20 (20.6%)	34 (35/100)	2 (2.1%)	2 (2/100)	4.6%	9
Very Good Risk	44 (12.1%)	1 (2.3%)	7 (15.9%)	9 (20/100)	0 (0.0%)	0 (0/100)	0.8%	3
All Cases	365 (100.0%)	103 (28.2%)	145 (39.7%)	309 (84/100)	51 (14.0%)	73 (20/100)	100.0%	50

- A. If only half as many offenders in the three highest risk levels were released, and instead the three lowest levels were increased proportionally, the total threat to society posed by those released could be reduced by one-third.
- B. If only half as many offenders in the two high violence risk categories were released, and instead the remaining four risk levels were increased proportionally, then the level of new violence among those released could be reduced by 42%.

#### Incapacitation as a Crime Prevention Strategy

What we imply by the above calculations is that a reduced rate of release for the highest risk offenders, coupled with an increased rate of release for others, could lead to substantial gains in the State's ability to incapacitate the most active criminals, thereby reducing the burden of recidivism. Particularly in the area of violence, such a strategy could have a significant impact on the total volume of serious crime in this state. This is due in part to the stated accuracy in prediction, but also to the relatively high rate of serious crime among ex-prisoners as compared to other offenders and to the much lower overall volume of violent crime than of property crime -- the latter being especially the case in Iowa.

Three general avenues of approach to further incapacitation of the highest risk offenders would appear to present themselves.<sup>1</sup>

- 1) More vigorous prosecution, less plea negotiation, and longer and more frequent prison sentences for those shown to be the most dangerous or recidivistic.
- 2) Less time off for good behavior, either in general or for selected offender types, to allow for potentially longer terms in the worst cases. Dangerous offenders could not "earn" their way out of prison as quickly as in the past, yet the parole board would not be hampered in releasing other offenders.
- 3) A refinement in parole policy to give proven risk assessment methods more play in parole decision-making. Mandatory release supervision for all offenders would reduce the pressure on the Board to release high risk offenders who are nearing the ends of their sentences.<sup>2</sup>

<sup>1</sup> The above are general observations only, and not a critique of the current ability of the parole board to "assess risk." In fact, during the last 21 months, the Board has considered statistical risk assessments in making parole decisions.

<sup>2</sup> The Board has expressed the belief that released prisoners are more likely to be successful upon release if they are placed under some form of supervision. Statistical evidence based on experience in Iowa suggests about a 15% lower recidivism rate for parolees than for comparable offenders discharging without supervision.

#### Emphasis on Predictive Power

In closing this section, we reiterate that our intention here is to illustrate the power behind the statistical risk assessment method, and particularly of the Iowa system. Not only do we gain the general advantage of the statistical method, but also the extraordinary level of accuracy among such systems that the Iowa version encompasses. Risk assessment systems are rather easily developed, assuming the necessary data are available. Many are constructed within just a short span of weeks, and frequently reasonably good levels of accuracy are attainable in such situations. However, in Iowa, five years of intensive research and continued refinement of risk assessment techniques have gained the advantage of a wholly new level of accuracy in prediction. It is extremely vital to a fair evaluation of the potential of the Iowa system that this kind of distinction be made.

It would be appropriate to keep in mind, in reading through the remaining portion of this report, the most impressive finding of the previously discussed validation study:

THOSE RATED AS HIGH VIOLENCE RISKS CONSTITUTE 28% OF RELEASED PRISONERS, YET ACCOUNT FOR 88% OF MAJOR NEW VIOLENCE BY ALL THOSE RELEASED.

<sup>1</sup> The Statistical Analysis Center is anxious to demonstrate the validity of the Iowa Offender Risk Assessment Scoring System for those who are interested. The SAC would like to see full advantage taken of what it views as a major new potential in criminal justice.

THE PAROLE GUIDELINES SYSTEM  
STRUCTURE AND IMPLEMENTATION

Between April, 1981 and November, 1982, the parole guidelines project managed by the Statistical Analysis Center provided 2413 evaluations of parole candidates to the Iowa Board of Parole. In all but a handful of cases, these evaluations were first prepared for interviews of residents of major correctional institutions in the state, excluding the halfway houses. Parole candidates residing in the work release centers were not evaluated routinely since the previous decision to grant work release effectively ensured the granting of parole - for successful work releasees - within a few months. In such cases, the guideline evaluation would provide only marginal assistance to the parole board.<sup>1</sup>

Guideline Structure

The evaluation provided to the Board appeared on a single-page form attached at the end of the "docket" referred to at the time of the parole interview.<sup>2</sup> This form is reproduced on the next page.

Each evaluation was based on 1) the general and violence risk assessments, 2) the length of the offender's sentence and the seriousness of the crime(s) for which sentenced, 3) the offender's prior juvenile and adult record of convictions/adjudications for felonies and aggravated misdemeanors, and 4) the inmate's record of misbehavior in prison or violation of previous paroles and work releases. Based on precise statistical coding of each of these factors, a "guideline range of recommended time-to-be-served" was obtained from a matrix of such ranges constructed specifically for the guidelines project.<sup>3</sup> As previously discussed, the ranges were "graded" to reflect consideration of increasing "risk" and/or increasing "desert" for the case in question. The higher risk the offender, or the more serious the case, the longer the guideline range. Further, the ranges were set up to allow the Board to achieve enhanced incapacitation of the worst risks without reducing the number of paroles granted.

By comparing the time actually served up to the instant interview with the recommended time-to-be-served, it was also possible to make a specific recommendation as to the release status of the offender. The various types of recommendations that were offered include:

- 1) Parole
- 2) Parole or Work Release
- 3) Work Release
- 4) Parole in X months
- 5) Work Release in X months

<sup>1</sup> This change was made with the approval of the parole board chairman after an evaluation of the April, 1981 results.

<sup>2</sup> The "docket" is the official record of the inmate maintained in the parole board office, and which is the primary document reviewed by the Board.

<sup>3</sup> By "guideline range of recommended time-to-be-served" we mean a specific range of months indicated as appropriate time-to-be-served prior to parole for the offender in question.

IOWA PAROLE GUIDELINES SYSTEM

OFFENDER

OFFENSE(S)

PRIOR FELONY AND AGGR.  
MISD. CONVICTIONS -  
JUVENILE AND ADULT

GENERAL AND VIOLENCE RISK RATINGS

HIGH RISK FACTORS

LOW RISK FACTORS

OTHER FACTORS CONSIDERED

GUIDELINE RANGE      BASIC:                      CURRENT:

CURRENT RECOMMENDATION

COMMENTS

- 6) Gradual Release
- 7) No Release

In most cases where time-served exceeded the lower end of the guideline range, either "Parole," or "Parole or Work Release," was recommended. Usually "Parole or Work Release" recommendations were reserved for higher risk inmates to indicate the need for caution in granting parole directly.<sup>1</sup> In some cases where misconduct was recent or serious enough, no release recommendation was given despite time served in excess of the guideline range. "Work Release" or "Parole in X Months" recommendations were usually limited to those who had served 1-6 months less than the guideline range, although this was also somewhat flexible. "Work Release in X Months" and "Gradual Release" recommendations were usually given in cases where time served was 7-12 months less than the guideline range. Finally, "No Release" was usually recommended when time served was more than 12 months less than the guideline range.

Guideline Philosophy and Board Response

It is well to emphasize at this point that guideline terms and release recommendations were not based strictly on the risk assessment. This was never the intent of the parole guidelines system, and it would be a vast under-estimation of the complexity of parole decision-making to expect this to be anywhere near the case.

Many lower risk offenders, in fact, were not recommended for release based on the seriousness of the crime and other factors, while many higher risk offenders were recommended for release based as time served. However, the frequency of a release recommendation was directly proportional to the risk level of the offender. The following table summarizes the relationship between risk level, using the simplified six-level system of the previous section, and the frequency of a parole or work release recommendation:

OFFENDER RISK LEVEL	TOTAL CASES	RELEASE RECOMMENDED	
		N	%
Very Poor Violence Risk	331	38	11.5%
Very Poor Property Risk	235	37	15.7%
Poor Violence Risk	277	72	26.0%
Poor Property Risk	732	278	38.0%
Good Risk	657	440	67.0%
Very Good Risk	181	143	79.0%
All Cases	2413	1008	41.8%

To provide a basis for comparison of recommendations and actual Board decisions, we provide the following tabulation of the latter:

<sup>1</sup> That is, for higher risk inmates who had served the guideline range. In such cases, the release recommendation was not based on the likelihood of a successful release, but rather on principles of desert and on time served.

OFFENDER RISK LEVEL	TOTAL CASES	RELEASE APPROVAL <sup>1</sup>	
		N	%
Very Poor Violence Risk	331	49	14.8%
Very Poor Property Risk	235	44	18.7%
Poor Violence Risk	277	57	20.6%
Poor Property Risk	732	208	28.4%
Good Risk	657	227	34.6%
Very Good Risk	181	71	39.2%
All Cases	2413	656	27.2%

The most obvious comparisons are:

- 1) a much lower rate of release approval than of release recommendation (27.2% to 41.8%);
- 2) less correlation between risk level and release approval than between risk level and release recommendation; and
- 3) relatively stable release approval across the highest three risk levels and across the lowest three levels.

Based on observation 3), we find it useful to collapse the two tables into one table that breaks out only higher risk and lower risk offenders:

OFFENDER RISK LEVEL	TOTAL CASES	RELEASE RECOMMENDED	RELEASE APPROVED
Higher Risk	843	147 (17.4%)	150 (17.8%)
Lower Risk	1570	861 (54.8%)	506 (32.2%)
All Cases	2413	1008 (41.8%)	656 (27.2%)

In judging these results, we first note the near identical figures on release recommendations and approvals for Higher Risk Offenders. This observation marks perhaps the most successful aspect of the guidelines effort to-date; the SAC believes that the guidelines have helped the Board reduce the relative likelihood of release for the highest risk offenders in the prison population. Figures on recidivism will be given below to further support this contention. At this point, we can only comment that the guidelines were constructed to delay release for the highest risks, and since the Board approved release for almost exactly the number recommended, we have to judge -- at least on a preliminary basis -- a high level of success in this area. We note, further, that lower risk offenders were almost twice as likely to receive release approval as the higher risks. This contrasts sharply with results from a previous study, based on experience during 1974-1977, which indicated little or no difference in release rates between the two groups.

<sup>1</sup> This includes both parole grants and work release endorsements. Only the Work Release Committee can formally grant work release.

### Lower Risk Offenders Not Released

While lower risk offenders were approved for release much less frequently than recommended, such a result was not totally unexpected. Basically, the guidelines were designed to encourage much more rapid release for this group as an approach to easing the State's prison population problem. In fact, an approximate 20-25% reduction in the prison population was built into the guidelines from the start,<sup>1</sup> with almost all of this drop to come from the speedier release of lower risk offenders. That the Board did not follow through in full measure with this approach reflects the difficulty inherent in attempting to impose a major new policy orientation on the Board from without. As noted above, this also draws in part from the natural complexity of the parole decision under Iowa's current indeterminate sentencing structure.

To a great extent, following a high percentage of release recommendations for lower risk offenders would have necessitated some rather dramatic changes in traditional parole policy. To wit, many low risk offenders convicted of crimes against persons were recommended for release after only about half the time they might normally be expected to serve. In such cases, the punishment or desert consideration clearly outweighed the risk factor in the Board's decisions. To a certain extent, also, the Board gave more weight to institutional infractions than did the guidelines, thus further slowing the release of lower risk offenders. These statements are not meant to be at all judgmental, as the consideration of desert and misconduct concern the meeting of goals other than those to which the guidelines were primarily directed.<sup>2</sup>

It is certainly not the position of the SAC staff to criticize or question the concern of the parole board with these goals, but merely to point out the potential trade-offs involved as a theoretical issue.

As a statistical exercise to illustrate the trade-off involved in prolonging the incarceration of lower risk offenders in order to meet these other goals, we can compute the relative degrees of threat to society and threat of new violence between those recommended for release and those actually approved for release:<sup>3</sup>

<sup>1</sup> Assuming no further increase in admissions.

<sup>2</sup> As discussed previously, the staff built desert factors into the guidelines, but then "tempered" them with the risk assessment factor. The Board, however, generally resisted this tempering process, asking for minimum levels of punishment for serious crimes, whatever the risk level of the offender.

<sup>3</sup> To this end, we use the results of the follow-up study discussed above. All four measures of threat are adjusted to give a base of 100 for the "Release Recommended" group.

	<u>Release Recommended</u> 1008	<u>Release Approved</u> 656
Total Cases		
General Threat Rating (Avg.)	100	136.4
Violence Threat Rating (Avg.)	100	142.7
Total Threat to Society	100	88.8
Total Violence Threat	100	92.2

From the above figures, we can calculate that the Board approved 34.7% fewer releases than recommended, with just 11.2% less overall threat to society and 7.8% less threat of violence. We reiterate that this is a theoretical calculation only and not a quantification of any type of "error" in parole decision-making. It does illustrate, however, the gap between a release policy based heavily on risk assessment and one taking into account the full array of factors considered by the present Board of Parole. Indeed, the Board could have approved 54% more releases with only a small fractional increase in threat to society, yet they did not choose to do so. Clearly, some major legitimate concerns of the Board were involved in decisions not to release that extra 54%. During the last several weeks, the Statistical Analysis Center has endeavored to quantify some of these concerns and factors, and has now completed a new structure for the parole guidelines system that reflects a much more realistic view of parole policy and practice. In the future, we expect, then, a much closer agreement between recommendations and actual decisions, while maintaining current release rates and enhanced public protection.

### The Potential for Additional Paroles

Although over 350 inmates recommended for release were not released at the time of the recommendation, many of those individuals have since moved out of the prison system. Thus, the impact on the prison population of not releasing targeted offenders is not as great as might be assumed.

To determine the extent of impact, the staff reviewed all 2413 evaluations prepared between April, 1981 and November, 1982 and identified 902 offenders who either were, or would have been, recommended for parole by the guidelines system prior to the end of November, 1982.<sup>1</sup> A follow-up of this group was conducted using parole board and correctional information records to determine any offender movements and current status.

Of these 902 offenders, 546 or 60.5% were paroled, either initially at the time of the evaluation, or at a subsequent interview. An additional 114 expired their sentences in prison, including some after a period of work release. Thus 660 or 73.2% had moved out of the prison system by the end of November, 1982.<sup>2</sup>

Of the remaining 242 inmates still in the system, 54 had been returned to major institutions as work release violators or had obtained new convictions for escape, assault, etc. without being paroled. An additional nine individuals had either waived their parole interviews or had refused parole. Subtracting out these 63 "non-parolables," we are left with a core group of 182 inmates who were not paroled or otherwise released from the system, and who could be tagged as recommended parolees still in prison.

<sup>1</sup> Generally, this group constituted those whose guideline terms expired by the end of November, 1982.

<sup>2</sup> A small percentage of these 660 came back into prison as parole violators.

IMPACT OF THE GUIDELINES SYSTEM

A closer check on these 182 revealed that 39 were in halfway houses on work release and thus could be counted as "released" from the major institutions, although not yet paroled. Since there are vacant beds in the halfway houses, their presence in these houses does not contribute to the State's prison overcrowding problem.

Of the remaining 143 not in halfway houses, we find that 96 were originally sentenced for crimes against persons and were denied parole for the following reasons:

Not enough time served based on offense severity	69
Perceived risk to society by Board	16
Institutional misconduct	<u>11</u>
	96

This leaves 47 offenders not originally convicted of crimes against persons, i.e., property offenders, who were denied parole for the following reasons:

Not enough time served based on offense severity	2
Perceived risk to society by Board	19
Institutional misconduct	<u>26</u>
	47

As a bottom line on this analysis, we could find only 19 "property" offenders who were denied release and were still in major institutions due to a tougher policy by the board on "risk" than that embodied in the guidelines. In any number of these cases, it is possible that the Board's assessment of risk is more accurate than that of the risk assessment system.

Based on the above, we would observe that for the Board to have made significantly greater use of the guidelines system in reducing prison population pressures would have entailed - for the most part - the release of offenders convicted of crimes against persons and offenders with recent and often serious misconduct records. Thus the parole guidelines system project results do not support the belief that these are large numbers of property offenders in prison who are good parole candidates being denied parole.

This is not to say that there are not significant numbers of property offenders in prison who are good parole candidates, just that there are very few who have been denied parole. Both from the parole guidelines experience and from a totally independent study of prison commitments, the SAC estimates that at any one time, approximately 12% of the prison population consists of individuals of this type, i.e., property offenders who have "slipped through the cracks" and justifiably could have been released earlier.<sup>1</sup> The problem is that these individuals generally have not had their first parole interviews or are in the process of being moved out of the system via minimum security or work release. To tap this 12% group for additional paroles would require earlier first parole interviews in many cases, altered policy concerning the use of work release prior to parole, and/or a process for screening prison commitments to identify good early release candidates (the latter coupled with a strategy to achieve earlier release).

<sup>1</sup> SAC analyses indicate that about 15-20% of committed offenders are non-dangerous property offenders for whom there is no clear-cut reason for incarceration, and who would appear to be good candidates for diversion from the prison system, either by direct sentence, shock probation, or early parole.

The two major areas of potential impact of the parole guidelines system are beyond debate:

- 1) impact on the parole rate, and
- 2) impact on risk to society.

The major expressed goals of the guidelines project were to encourage an increased rate of parole and to reduce the risk or threat to society posed by those paroled.<sup>1</sup> These were the goals originally envisioned by the system's developers, and they were also expressed explicitly in the legislation calling for use of objective parole criteria by the Board of Parole.<sup>2</sup>

Parole Rate Versus Parole Failure

Generally, when the parole rate for a given prison system is increased, this carries with it the probability or distinct possibility that higher risk offenders will be released, and that the parole violation rate and resulting threat to society will rise accordingly. This generally results since the paroling authority is then forced to draw from a higher risk population. If, in fact, the parole rate can be increased significantly with no increase in the parole violation rate or in the severity of crimes charged to parolees, this can be viewed as a major success for the paroling body.

Likewise, if the parole rate can be maintained, while simultaneously reducing the parole violation rate, and/or the severity of crimes charged to parolees, this can also be viewed as a major success. To both increase the parole rate significantly, and simultaneously reduce either the parole violation rate or the severity of charged offenses or both, would be a rare success indeed.

In judging the success of the guidelines project,<sup>3</sup> the above observations should be kept clearly in mind. Particularly, if success has been achieved in increasing the parole rate -- for whatever reason -- then anything less than a corresponding increase in the parole violation rate and risk to society can be viewed as a form of success. The degree of that success should then be measured against the

<sup>1</sup> Generally, a major goal of guideline systems developed in this country has been to reduce parole decision disparity. Although there may have been some impact of this type, such was not one of the major goals of the Iowa system.

<sup>2</sup> H.F. 849, Laws of the Sixty-Ninth General Assembly, 1981 Session  
*The board of parole shall develop and use objective parole criteria in evaluating inmates for parole, with the goal of increasing parole rates without increasing the risk to society of release on parole. The statistical analysis center of the office for planning and programming shall monitor the board of parole's use of the objective parole criteria, and report to the general assembly by January 1, 1983 on the impact of the use of the criteria on parole rates and risk to society. As used in this subsection, "objective parole criteria" means criteria which statistically have been shown to be good predictors of risk to society of release on parole.*

<sup>3</sup> We will continue to offer the caveat that there is no clear way to separate the impact of the guidelines system from the performance of the parole board itself -- since the Board makes the actual release decisions. To a great extent, then, any success we are able to document should be directed to the Board itself.

expectation of an increase in parole failure.<sup>1</sup>

#### Increased Parole Rate

In looking back to the situation as it was in early 1981, the SAC had demonstrated through a careful analysis of admission and release patterns that 79% of the increase of 380 in the prison population during the two-year period 1979-1980 was due to a reduction in the parole rate. Using number of paroles granted during any two-year period, expressed as a percentage of the beginning prison population for that period, we have a handy definition of "parole rate" for comparison purposes. With this definition, we can calculate that the parole rate dropped from 59.0% during 1977-1978 to 43.4% during 1979-1980. This 26% drop in the parole rate was the major cause of an 18% increase in the State's prison population during the two years prior to the legislative deliberations in early 1981.

Since the increase in the prison population was mostly due to a reduction in the parole rate rather than to an increase in admissions, the obvious question at that point in time was: How can the parole rate be brought back to former levels to stop the upward trend in the population? The parole guidelines system was presented<sup>2</sup> to the parole board and the Legislature as one alternative for achieving this aim.

<sup>1</sup>The expectation of an increase in parole failure would of course hinge on the types of additional paroles granted. In Iowa, as documented in the previous section, any further increase in the parole rate would most likely have to draw from 1) higher risk less serious offenders, or 2) lower risk more serious offenders.

<sup>2</sup>That the Legislature intended that the parole guidelines system be used to increase the parole rate is clear from the language of H.F. 849: "The board of parole shall develop and use objective parole criteria in evaluating inmates for parole, with the goal of increasing parole rates without increasing the risk to society of release on parole" (emphasis added).

As a further impetus in this direction, the Legislature enacted a statute setting a cap on the size of the state's prison population, which was originally set at 2650, but which now rests at 2780.

The combination of the mandate to use "objective parole criteria" to increase parole rates, and the adoption of the prison population cap, provided a clear indication from the General Assembly that an increase in paroles was desired. However, at that time it was not apparent just how much pressure would be placed on the Parole Board to speed the release process. To wit, during 1981-1982, admissions to the prison system increased by 17.3%. This effectively "consumed" all of the cushion between the prison population at that time -- around 2500 -- and the eventual cap level of 2780. Unless the parole board increased the parole rate sufficiently to balance the previous growth trend in the population, there would be no alternative to a "prison overcrowding state of emergency."<sup>1</sup>

To-date, despite the 17.3% increase in admissions, only one overcrowding emergency has been called, and in that single case, the emergency was cancelled due to the increase in the cap from 2650 to 2780. During 1981-1982, the parole board has responded with a dramatic 50% increase in paroles.<sup>2</sup> Further, the parole rate, which fell from 59.0% during 1977-1978 to 43.4% during 1979-1980, jumped back up to 55.3% during 1981-1982.

From 1979-1980 to 1981-1982 the number of parole grants per month increased from 40 to 59, the latter being almost precisely the number necessary to stabilize the prison population at a level just below the cap.<sup>3</sup>

Further, looking back to the size of the prison population in early 1981, if admissions had not turned upward, the observed number of paroles would have kept the prison population stable. It is impossible to know, however, how many paroles would have been granted had admissions not increased, since the pressure of the cap would not have been as keen.

#### PRISON MOVEMENT STATISTICS

<u>Calendar Year</u>	<u>Prison Admissions</u>	<u>Prison Releases</u>	<u>Population Change</u>	<u>Ending Population</u>	<u>Paroles Granted</u>	<u>Parolees Released</u>
1977	1403	1234	+169	2125	596	580
1978	1304	1330	-26	2099	564	574
1979	1505	1386	+119	2218	515	508
1980	1536	1275	+261	2479	446	402
1981	1753	1562	+191	2670	619	602
1982	1813	1654	+159	2829	790	769

<sup>1</sup> Such an emergency would be called if the cap were to be exceeded for 45 consecutive days. In such a situation "emergency" releases of prisoners, either by parole or forced expiration of sentence, would be used to reduce the population to a level at least 100 below the cap.

<sup>2</sup> Actually, the number of parole grants increased by 47%, while the number of parolees released increased by 51%. Parole grants increased from 961 during 1979-1980 to 1409 during 1981-1982.

<sup>3</sup> The impact of the existence of the cap is, of course, a major consideration in weighing this result.

Regardless of the cause of the additional paroles, the pure fact of the increase is significant. No legislation, recent or past, could "force" additional parole grants from the Iowa Board of Parole. The cap legislation, for example, calls for the reduction of sentences for property offenders in case sufficient paroles are not granted to end an overcrowding emergency. If, in fact, the parole board had chosen to ignore the cap and meet the often-expressed desire of the public for longer prison terms, there would be very little that could be done to encourage additional paroles. That the Board has responded to legislative intent and increased the parole rate is to their credit.

#### Guideline Impact on Increased Paroles

In judging the contribution of the parole guidelines system to the increased parole rate, we can only observe:

- 1) The number of parole recommendations provided to the Board was consistent with the legislative intent of increasing the parole rate to former levels.
- 2) Between April, 1981 and December, 1982, 1234 offenders were released on parole in Iowa. In 855 or 69.3% of these cases, the Board had a guideline evaluation available at the time parole was granted. In reviewing these 855 paroles, 620 or 72.5% were judged to be favorable to public safety or tending toward a reduction in the recidivism rate.

In the material to follow, we comment on changes in the extent to which paroles served the interests of public safety. Looking ahead to the favorable result discussed there, and without clear evidence of a "cause and effect" relationship between favorable guideline evaluations and subsequent paroles, the most that can be said here is:

*The parole guideline system has provided assistance to the Board of Parole in elevating the parole rate to former levels without increasing the threat to public safety.*

#### Public Protection

In any situation, a primary concern of the Board of Parole in granting paroles is protection of the public. The Code of Iowa clearly specifies the emphasis to be placed on this consideration in the parole screening process; and this emphasis is clearly indicated in both the actual decisions of the Board and in their written and spoken policies. Particularly evident is their concern with protection of the public from violent crime.

From information tabulated on a monthly basis by the parole board office, we find clear evidence of a progressively harsher release policy toward violent criminals. The following tabulation demonstrates changes over the last three years in the number and percentage of paroles granted which were of violent offenders.<sup>1</sup>

<sup>1</sup> In this context, a "violent" criminal is any offender convicted of a crime against persons, including homicide, rape and other sex crimes, robbery, kidnapping, aggravated assault, terrorism, extortion, going armed with intent, arson of a dwelling, or aggravated burglary.

<u>Calendar Year</u>	<u>Paroles Granted</u>	<u>Violent Offenders</u>	<u>Non-Violent Offenders</u>
1980	446	160 (36%)	286 (64%)
1981	619	204 (33%)	415 (67%)
1982	790	183 (23%)	607 (77%)

From 1980 to 1982, the percentage of paroles which were of violent criminals dropped from 36% to 23%. While paroles of non-violent offenders jumped by 112%, paroles of violent offenders rose by only 14%. Further, from 1981 to 1982, despite a 46% jump in paroles of non-violent offenders, paroles of violent offenders dropped by 10%. These discrepancies were not in even a minor way due to changes in the make-up of the prison population. Over the period 1977-1981, the percentage of violent offenders in the prison population remained virtually stable at around 45%. Although figures for 1982 have not yet been tabulated, an increase in this figure is expected due to the observed change in relative parole rates for violent and non-violent offenders.

Particularly evident is a concern with the release of offenders convicted of robbery. Indeed, 81% of the drop of 21 in paroles of violent offenders from 1981 to 1982 fell in the category of robbery. From 1980 to 1982, the percentage of paroles that were of this type dropped by 37%, from 16.6% to 10.4%. While our observation on this is partly conjectural, it would appear that the Board is becoming increasingly aware of the threat to society posed by persons involved in the crime of robbery. In this regard, we would note that the Iowa Offender Risk Assessment Scoring System identifies persons convicted of robbery as those most likely to commit violent crimes after release from prison. In support of this observation, we would note that between 1978 and 1982, 15% of paroles were of persons convicted of robbery, yet 49% of the 57 parolees returned to prison with new convictions for violent crimes were originally convicted of that crime.<sup>1</sup> To the extent that the parole rate for robbery drops, then, the return rate for violent crime will drop and society will be better protected.

In order to document changes in the extent of public protection drawing from changes in the parole pattern over the last two years, the SAC undertook a careful examination of parole violation rates and new crimes charged to parolees. Records of all paroles granted going back to January 1, 1979 were examined, and all parole violators returned to prison were identified. Further, returns for new felony and aggravated misdemeanor charges were tagged, and new violent crimes were distinguished from the non-violent variety. By tracking violation rates according to time since release on parole, the SAC was able to develop what are felt to be highly accurate estimates of ultimate parole violation rates for the 2280 parolees released by the Board over the last four years.<sup>2</sup>

Of the 2280 parolees released since January 1, 1979, the SAC estimates that 573 or 25.1% will eventually return to prison as parole violators. To-date, 360 or 15.8% of the 2280 have returned.

To allow a determination of changes in parole violation activity since the guideline system was implemented, the four-year period 1979-1982 was split into two intervals of slightly different length, 1) the 27 months prior to guideline implementation in April, 1981, and 2) the 21 months since guideline implementation.

<sup>1</sup> This figure applies only to paroles granted since 1-1-78.

<sup>2</sup> By "ultimate" parole violation rate, we mean the eventual percentage of parolees who will return to prison before discharge from parole.

While returns of parole violators for new violent crimes are down by 35%, returns for new non-violent crimes are up slightly. This was not unexpected, for the following reasons:

- 1) The Board's special interest in preventing violent crime;
- 2) The Guidelines System's concentration on predicting and preventing violent crime;
- 3) The difference between offenders who are high risk for new property crime and those who are high risk for violent crime. Many of the former are young, do not have serious or lengthy prior records, and have been involved exclusively in property crime. When additional paroles are desired, the Board may frequently view these individuals as suitable parole candidates.

A final consideration here is that the percentage of total violent crime in the state which can be traced to ex-prisoners is much greater than the comparable percentage of non-violent crime. Very simply, the Parole Board has much less control over the volume of non-violent crime in the state than it has over violent crime.<sup>1</sup>

In examining the violation results more closely, we observe that:

- 1) the total violation rate for new serious crime dropped from 12.3% during the Pre-Guideline period to 11.4% during the Guideline period, a 7.4% drop, and
- 2) the percentage of those returning for new serious crime who returned for violent crimes dropped from 37% to 26%.

To arrive at an estimate of change in the extent of public protection from the one period to the next, it is necessary to assign relative weights to violent and non-violent crimes in order to take into account the more serious nature of violent crime. Based on observed sentencing and time served patterns for the two types of crimes, the best relative weighting -- without getting down to specific categories of crime -- would appear to be 5 to 2.

Applying these weights as "degrees of threat" to the numbers of parole violators with new violent and non-violent crimes for the two periods, results in the following:

<sup>1</sup> To illustrate this fact, we would observe that during 1981 there were 2019 reported homicides, rape, and robberies (violent crimes) in Iowa, compared to approximately 65,000 burglaries, vehicle thefts, and other felony thefts (property crimes) -- for a ratio of 32 to 1 of property to violent crime. However, during that same year the numbers of parolees returned to prison for these types of crimes were virtually identical -- 20 for violent crimes and 19 for property crimes.

Period	Total Cases	Total Threat	Threat Rating (Average)
Pre-Guidelines	1046	402	.384
Guidelines	1235	393	.318

In comparing the two indicated "Threat Ratings" we find that the typical threat to society posed by the release of a parolee dropped by 17% from the Pre-Guidelines period to the Guidelines period. In general, experience indicates that recent parolees are 17% better risks for serious crime on parole than were previous parolees.

Further, due to the reduced risk of those paroled, the total harm or threat imposed by those released has grown by only 25% despite a 52% increase in paroles.<sup>1</sup> This increased threat is all in the area of non-violent crime, however, as the total threat of violent crime has dropped by a little over 1%. Going back to our commentary on the slight impact of non-violent crime by parolees on the state's crime rate, we would have to conclude that the increased total threat has been substantially insignificant. In other words, the Iowa Board of Parole has achieved the noteworthy success of boosting paroles by over 50% with no significant increase in threat to the general public.

The SAC is especially impressed by the reduction in the "total" threat of violence despite the dramatic increase in paroles. This accomplishment by the Board is no doubt due both to a generally harsher policy toward violent offenders and to better screening of those they do chose to parole.

As to the possible contribution of the guidelines system to this success, we would comment as follows. Between April, 1981 and November, 1982, 773 paroles were granted by the Board. In 494 of these cases, guideline evaluations were available at the time of parole -- and in four or 0.8% of these cases, the parolee had returned to prison as a parole violator with a new violent crime by the end of November, 1982. In 279 cases, guideline evaluations were not available -- and in eight or 2.9% of these cases a similar result occurred.

Looking more closely at the nature of the evaluation in cases where an evaluation was available, we can separate those evaluations into two groups, namely those which were "favorable" to successful release and those that were "unfavorable."<sup>2</sup> With this separation, we can split out the parole violation rates for the Guidelines period into three categories: 1) offenders with no guideline evaluation, 2) offenders with an unfavorable guideline evaluation, and 3) offenders with a favorable guideline evaluation. The results are as follows:

Evaluation Category	Parolees Released	Parole Violators Returned		
		New Violent Crime	New Non-Violent Crime	Threat Rating
None Available	380	21 (5.5%)	36 (9.5%)	.467
Unfavorable Evaluation	235	14 (6.0%)	40 (17.0%)	.638
Favorable Evaluation	620	2 (0.3%)	28 (4.5%)	.106
<b>All Cases</b>	<b>1235</b>	<b>37 (3.0%)</b>	<b>104 (8.4%)</b>	<b>.318</b>

<sup>1</sup>

That is, the total harm imposed by a year's worth of parolees.

<sup>2</sup>

The designations "favorable" and "unfavorable" are based both on the statistical risk assessment and on the actual recommendations given by the SAC staff.

While to a certain extent the "Favorable Evaluation" category contained generally better candidates, in part because the Board agreed with the Guideline evaluation, the results nonetheless provide a clear indication that the guideline system has contributed to the improved threat rating of released parolees, and thus has helped the Board meet the goal of increased paroles without increased risk to society.

As one final indication of a favorable impact of guideline evaluations on parole decisions, we present the following three observations:

- 1) Of 902 offenders recommended for release on parole before November 30, 1982, 546 or 60.5% were granted parole within this time frame.
- 2) Of 1104 offenders specifically recommended for no parole before November 30, 1982, just 198 or 17.9% were granted paroles by that date.
- 3) During the first three months of the guideline project (April-June, 1981), when the Board was making the adjustment to considering guideline information, 34 or 18.8% of the 181 inmates not recommended for any type of release were in fact granted parole at the target interview.<sup>1</sup> By the end of November, 1982, fully 47% of this group had returned to prison as parole violators, a much higher rate of return than normal.

During the most recent 17 months of the project (after a period of adjustment for the parole board), just 69 or 5.7% of the 1215 inmates not recommended for release were granted parole at the target interview. Of those 69, 35% were paroled to other states or to detainers on pending charges, leaving just 45 offenders or 3.7% who were paroled to the streets of Iowa without a guideline release recommendation.<sup>2</sup> The Board has generally been very reluctant to grant parole when viewing an unfavorable guideline evaluation for the first time.

#### More Specific Follow-up Results

To obtain a better idea of the performance of inmates released in conjunction with the parole guidelines project, a more thorough follow-up study was conducted. In all, 257 inmates were paroled between April, 1981 and May, 1982 in situations where the Board had a current guideline recommendation.<sup>3,4</sup> Rapsheets on all 257 offenders were obtained in mid-November, 1982 from the Iowa Division of Criminal Investigation, and new criminal charges and parole revocations recorded by the group were tabulated.

<sup>1</sup> That is, at the time of the interview when the guideline evaluation first became available. Others were granted parole at later interviews.

<sup>2</sup> Of inmates receiving either a parole or work release recommendations, 20% were paroled to other states or to detainers.

<sup>3</sup> An additional undetermined number of prisoners were paroled during this period in situations where the Board had access to a previous recommendation but not to a current recommendation. This frequently occurred in interviews of halfway house residents.

<sup>4</sup> Inmates paroled after May, 1982 were not followed due to the relatively short follow-up period available in such cases.

During an average follow-up period of 13 months, the 257 parolees performed as follows:

- o Thirty-two or 12.5% were returned to prison as parole violators. Fourteen or 5.4% were returned to prison in conjunction with new felony or aggravated misdemeanor charges obtained while on parole. Overall, 34 or 13.2% re-entered Iowa prisons either as parole violators or with new sentences.
- o Twenty-nine or 11.3% had new felony or aggravated misdemeanor charges after release. Fifteen or 5.8% were re-imprisoned as a result of these new charges.
- o Only four or 1.6% obtained new charges for serious violent crimes.<sup>1</sup> Three of the four obtained new prison sentences on the new charges, and the fourth had the single new charge dismissed.
- o In all, the 29 parolees with new felony and aggravated misdemeanor charges recorded 44 such new charges, as follows:

Robbery in the First Degree	3
Burglary in the First Degree	1
Attempted Sexual Abuse	1
Burglary in the Second Degree	8
False Use of a Financial Instrument	3
Theft in the Second Degree	8
Theft in the Third Degree	6
Operating MV Without Consent	1
Criminal Mischief in the Third Degree	1
Escape	2
Possession of Controlled Substance	
WI to Deliver	1
Carrying Weapons	4
Prostitution	2
Third Offense OMVUI	2
Driving Without a License (Habitual Offender)	1
	<u>44</u>

As the Attempted Sexual Abuse charge was dismissed, not a single parolee in the study sample was convicted of a new homicide, assault, or sex-related offense committed after release. Of the three who were convicted of new violent crimes,<sup>2</sup> two were originally convicted of burglary, while the third was originally convicted of robbery and served all but 8 months of a 10 year sentence.<sup>3</sup>

- o Of the 29 parolees charged with new felonies and aggravated misdemeanors, just 14 or 5.4% of the total sample have been convicted of such charges. In all, these 14 offenders were convicted of 17 new felonies and aggravated misdemeanors, as follows:

<sup>1</sup> Felonies or aggravated misdemeanors against persons.

<sup>2</sup> Robbery in the First Degree (3) and Burglary in the First Degree (1).

<sup>3</sup> After good/honor time deduction, he served 48 of 56 months on his sentence. Although still on parole when charged, he did not return to prison with the new sentence until after expiring of his previous sentence.

Robbery in the First Degree	1
Robbery in the Second Degree	2
Burglary in the Second Degree	2
False Use of a Financial Instrument	2
Theft in the Second Degree	2
Theft in the Third Degree	4
Escape	2
Possession of Controlled Substance WI to Deliver	1
Driving without a License (Habitual Offender)	$\frac{1}{17}$

To provide a further check on the validity of the risk assessment system, we can examine the correlation between risk rating, and/or the guideline recommendation, with recidivism in our study sample. Since the Board did not always follow the system, we can determine what happened in cases where they did not.

To this end, we again distinguish those with a "Favorable Evaluation" from those with an "Unfavorable Evaluation." Those with unfavorable evaluations were those for which caution was indicated based on both the objective risk criteria and a subjective evaluation of the overall case as reflected in the formal release recommendation.<sup>1</sup>

To measure recidivism in a systematic way, we define four types of failure as follows:

- A) Parole revoked
- B) New felony or aggravated misdemeanor charge
- C) Parole revoked or new felony or aggravated misdemeanor charge
- D) Returned to prison for new felony or aggravated misdemeanor committed on parole

With these definitions we have the following comparative recidivism results for those with favorable and unfavorable guideline evaluations:

Recidivism Category	Recidivism Rate		
	Unfavorable Evaluation	Favorable Evaluation	All Cases
Parole revoked	26.8%	7.0%	12.5%
New felony/agg. misd. charge	28.2%	4.8%	11.3%
Parole revoked <u>or</u> new felony/agg. misd. charge	36.6%	10.8%	17.9%
Parole revoked <u>and</u> new felony/agg. misd. charge	18.3%	0.5%	5.4%
Total Cases	71	186	257

<sup>1</sup> "Dangerous offenders" were counted as having unfavorable evaluations unless a strong parole recommendation was offered based on time served and the judgment that "burn-out" had occurred. "High risk" offenders were counted in the unfavorable column if no immediate release recommendation was offered. Lower risk offenders were counted as unfavorable only if the most pessimistic release recommendation was offered. A "dangerous offender" is one with one of the two highest ratings of general risk, while a "high risk offender" is one with the third highest rating -- among eight overall ratings.

No matter what definition of recidivism is taken as a measuring stick, those with unfavorable evaluations did substantially worse after release than did those with favorable evaluations. This was especially the case with the fourth category, namely return to prison for a new felony or aggravated misdemeanor committed on parole. Only one of 186 parolees with a favorable release evaluation failed in this way, compared to 13 of 71 for those with an unfavorable evaluation.<sup>1</sup> Further, the single failure of this type among those favorably evaluated was for driving without a license as an habitual offender, the least serious charge among all new felonies and aggravated misdemeanors.<sup>2</sup>

These results provide further support for the validity of the risk assessment and the parole guideline system in that recidivism rates were much higher when the system was not followed.

<sup>1</sup> The results indicate that the parole guidelines system is better at predicting serious new charges after release than in predicting revocation of parole, which frequently occurs due to technical violations and less serious charges.

<sup>2</sup> Based on a weighted scale of seriousness, the negative group, although comprising only 28% of the total sample, accounted for 84% of the total seriousness of new felony and aggravated misdemeanor charges.

APPENDIX A  
CASE HISTORIES

Three types of case histories are given, including 1) parolees returned to prison with new sentences for violent crimes, 2) ex-prisoners who received new sentences for violent crimes after discharge from prison or parole, and 3) parolees who were arrest-free for three years or more after release on parole. These histories were designed 1) to demonstrate the characteristics of the violent repeater, and to contrast this type of offender with the non-recidivist, and 2) to demonstrate the ability of the Iowa risk assessment system to predict violence.

Each history indicates the following offender characteristics: 1) age at first arrest, 2) age at the current commitment, 3) total number of juvenile and adult arrests, 4) prior juvenile and adult convictions/sentences for felonies and aggravated misdemeanors, 5) current offenses and sentences, and time served on the sentence, 6) history of drug or alcohol abuse and type, 7) the nature of new sentences for violent crimes committed after release (if applicable), and 8) the risk assessment that would have applied to the offender at the time of the targeted release. If no statement is given on a particular characteristic, this is meant to indicate that the offender did not exhibit that type of characteristic, e.g., prior felony/aggr. misd. conviction or drug/alcohol abuse.

The case histories number 57, 22, and 57 respectively for the three types of history indicated above. The 57 parolees who returned to prison with new sentences for violent crimes constitute the total number of such offenders who were paroled between January 1, 1978 and November, 1982, and who were returned to prison with the new sentences before the latter date. Thus, the first sample is complete in that sense. The other two, however, are merely random samples drawn from larger populations. No conclusions can be drawn from these histories as to the relative numbers of dangerous and non-dangerous offenders leaving Iowa prisons. The information addresses only the characteristics of such offenders. It should be noted, also, that two other substantial groups are not represented in these histories, namely 1) those who were arrest-free for at least three years after discharge from prison, and 2) those who were arrested within three years of release, but who did not obtain new sentences for violent crimes. The characteristics of such offenders can, and indeed do, differ significantly from those of the three groups represented here, and this should be kept in mind.

To demonstrate the ability of the risk assessment system to predict violence, we include here a percentage breakdown of risk levels (predictions) of the three target groups, and also of a typical group of released prisoners as a whole (sample from years 1978-1979).

RISK LEVEL	All Releasees	Arrest-Free		
		New Violence on Parole	New Violence after Discharge	3 Years after Parole
Very Poor Violence Risk	15.1%	38.6%	54.5%	3.5%
Poor Violence Risk	13.4%	38.6%	27.3%	8.8%
Fair Violence Risk but Very Poor Property Risk	6.8%	8.8%	0.0%	1.8%
Poor Property Risk	26.1%	3.5%	13.6%	17.5%
Good Risk	26.6%	8.8%	4.5%	45.6%
Very Good Risk	12.1%	1.8%	0.0%	22.8%

CASE HISTORIES OF PAROLEES RETURNED TO  
PRISON FOR NEW VIOLENT CRIMES

- 1) First arrested at age 11, was age 16 at commitment, and had five total arrests and four juvenile commitments for bad checks, burglary and theft. Served 69 months on a 20-year sentence for rape, and received a new 10-year sentence for kidnapping in the third degree and assault while participating in a felony after 30 months on parole. Rated as a poor violence risk.
- 2) First arrested at age 18, was age 22 at commitment, and had three total arrests and a prior adult probation for forgery. Served 37 months on a 25-year sentence for robbery with aggravation and uttering a forged instrument. Marijuana abuse and heroin experimentation. Received a new 25-year sentence for robbery in the first degree after 34 months on parole. Also had new robbery charge dropped. Rated as a poor violence risk.
- 3) First arrested at age 18, was age 24 at commitment, and had eight total arrests and three prior prison terms, one for burglary, and two for escape. Served 66 months on 21-year sentence for jailbreak and assault with intent to rape. Alcohol problem. Received a new 25-year sentence for kidnapping in the second degree and sexual abuse in the third degree after 21 months on parole. Rated as a poor violence risk.
- 4) First arrested at age 26, was age 26 at commitment, and had no prior arrest. Served 45 years for murder in the first degree. Received a new 10-year sentence for willful injury after three months on parole. Rated as a very good risk.
- 5) First arrested at age 10, was age 20 at commitment, and had eight total arrests (robbery with aggravation charge dismissed). Served 25 months on 25-year sentence for robbery with aggravation and assault with intent to inflict great bodily injury. Heroin addiction and cocaine use. Received a new 25-year sentence for two counts of robbery in the first degree after 13 months on parole. Rated as very poor violence risk.
- 6) First arrested at age 14, was age 25 at commitment, and had 33 total arrests, five juvenile commitments for car theft, escape, uttering forged instrument, and robbery, and a prior adult probation for burglary. Served 53 months on a 13-year sentence for burglary and escape. Drug and alcohol problem. Received a new 25-year sentence for robbery in the first degree after 12 months on parole. Rated as a fair violence risk and very poor property risk.
- 7) First arrested at age 15, was age 19 at commitment, and had 11 total arrests, two juvenile commitments for undetermined offenses, an adult probation for a robbery charge, and a prior prison term for auto theft. Served 27 months on a 5-year sentence for auto theft. Alcoholic. Received a new 25-year sentence for robbery in the first degree after five months on parole. Rated as a very poor violence risk.
- 8) First arrested at age 20, was age 28 at commitment, and had nine total arrests and a prior prison term for forgery and escape. Served eight and one-half years on a 50-year sentence for murder in the second degree. Received a new life sentence for kidnapping in the first degree and sexual abuse in the second degree after 10 months on parole. Rated as a good risk.

- 9) First arrested at age 16, was age 23 at commitment, and had 10 total arrests and a fine for possession of heroin and methadone with intent to deliver (going armed with intent charge dismissed). Served six years on a 25-year sentence for robbery with aggravation and shoplifting. Heroin addition and problem use of morphine, glue and quinine. Received a new 25-year sentence for robbery in the first degree after 19 months on parole. Rated as a very poor violence risk.
- 10) First arrested at age 10, was age 18 at commitment, and had 11 total arrests and two juvenile commitments for car theft and other felonies. Served 43 months on a 25-year sentence for robbery with aggravation. Alcoholic. Received new 10-year sentence for robbery in the second degree after 45 months on parole. Rated as a very poor violence risk.
- 11) First arrested at age 19, was age 21 at commitment, and had five total arrests and a prior adult probation for forgery and conspiracy (revoked). Served three years on a 25-year sentence for robbery with aggravation, forgery, and conspiracy. Heroin problem. Received a new 2-year sentence for attempted murder reduced to assault with intent to inflict serious injury after 15 months on parole. Rated as a poor violence risk.
- 12) First arrested at age 9, was age 19 at commitment, and had eight total arrests and a juvenile commitment for an undetermined offense. Served 35 months on a 25-year sentence for robbery with aggravation. Alcoholic and heroin experimentation. Received a new 10-year sentence for robbery in the first degree reduced to robbery in the second degree after 21 months on parole. Rated as a very poor violence risk.
- 13) First arrested at age 20, was age 24 at commitment, and had three total arrests. Served 68 months on a 20-year sentence for forcible rape. Received a new 10-year sentence for sexual abuse in the third degree after six months on parole. Rated as a good risk.
- 14) First arrested at age 16, was age 32 at commitment, and had 11 total arrests, one juvenile commitment, and three prior prison terms for carrying a concealed weapon, possession and delivery of heroin, and carrying a concealed weapon again. Served 22 months on a 5-year sentence for forcible rape. Drug problem, including heroin use. Received new 10-year sentence for sexual abuse in the third degree after 8 months on parole. Rated as a poor violence risk.
- 15) First arrested at age 14, was age 22 at commitment, and had seven total arrests. Served 47 months on a 10-year sentence for robbery. Alcoholic and heroin use. Received a new 10-year sentence for robbery in the first degree reduced to robbery in the second degree after two months on parole. Rated as a poor violence risk.
- 16) First arrested at age 16, was age 18 at commitment, and had four total arrests. Served 47 months on a 25-year sentence for two counts of forcible rape (aggravated burglary charge dropped). Received a new 20-year sentence for two counts of sexual abuse in the third degree after eight months on parole. Rated as a poor violence risk.
- 17) First arrested at 18, was age 20 at commitment, and had four total arrests and one jail term resulting from a burglary charge. Served 43 months on a 10-year sentence for robbery. Drug problem, including heroin use. Received a new 10-year sentence for two counts of robbery in the first degree reduced to two counts of robbery in the second degree after 11 months on parole. Rated as a poor violence risk.

- 18) First arrested at age 14, was age 22 at commitment, and had 19 total arrests, a juvenile probation for auto theft, three juvenile commitments for burglary, larceny, escape, and assault, an adult probation for auto theft, and a jail term for a separate auto theft. Served 48 months on a 10-year sentence for burglary. Had a new first degree sexual assault charge while on work release two years prior to parole. Problem use of heroin, morphine, glue, alcohol, and other drugs. Received a new 1-year sentence for false imprisonment after four months on parole. Had a new charge of kidnapping in the second degree dismissed. Rated as a very poor violence risk.
- 19) First arrested at age 15, was age 20 at commitment, and had five total arrests. Served 42 months on a 25-year sentence for robbery with aggravation. Cocaine use. Received a new 10-year sentence for robbery in the second degree after 16 months on parole. Rated as a poor violence risk.
- 20) First arrested at age 20, was age 38 at commitment, and had seven total arrests and two prior prison terms for grand larceny and auto theft. Served 25 months on a 10-year sentence for burglary and escape. Alcohol problem. Received a new 10-year sentence for conspiracy to commit a forcible felony after 13 months on parole. Rated as a poor property risk.
- 21) First arrested at age 9, was age 17 at commitment, and had nine total arrests and a juvenile commitment for "assaultive acts." Served five years of a 25-year sentence for robbery with aggravation. Also served five years on a separate sentence for armed robbery committed in Minnesota while on escape. Drug abuse. Received a new 25-year sentence for robbery in the first degree and burglary in the first degree after nine months on parole. Rated as a very poor violence risk.
- 22) First arrested at age 11, was age 18 at commitment, and had 17 total arrests - including eight assault charges - a juvenile probation for larceny and nine counts of burglary, four juvenile commitments for 23 counts of burglary, grand larceny, escape, possession of burglar's tools, and assault with intent to inflict serious injury, and a 60-day jail term for assaultive offenses. Served 28 months on a 10-year sentence for two counts of burglary. Alcohol problem and cocaine use. Received a new 10-year sentence for willful injury after 17 months on parole. Rated as very poor violence risk.
- 23) First arrested at age 14, was age 17 at commitment, and had six total arrests and one juvenile commitment for assault. Served 57 months on a 25-year sentence for robbery with aggravation. Received a new 10-year sentence for sexual abuse in the third degree, and for rape and two counts of robbery reduced to assault while participating in a felony, after 25 months on parole. Rated as a very poor violence risk.
- 24) First arrested at age 21, was age 33 at commitment, and had 24 total arrests, including two rape charges and six assault charges, and an adult probation for shoplifting. Served 10 months on a 5-year sentence for shoplifting and conspiracy to commit burglary. Alcohol problem. Received a new 15-year sentence for being a habitual offender convicted of robbery in the second degree after 20 months on parole. Rated as a poor violence risk.
- 25) First arrested at age 11, was age 24 at commitment, and had three total arrests and a prior prison term for robbery with aggravation. Served nine years and nine months on a 30-year sentence for assault with intent to murder during a robbery. Alcohol and drug abuse. Received a new 10-year sentence

for robbery in the second degree after 22 months on parole. Rated as a poor violence risk.

- 26) First arrested at age 18, was age 23 at commitment, and had six total arrests, a prior prison term for burglary and escape, and a fine for assault with intent to inflict great bodily injury. Served 45 months on a 11-year sentence for larceny in the nighttime and jailbreak. Problem use of alcohol, hallucinogens, and amphetamines. Received new 25-year sentence for two counts of robbery in the first degree after 14 months on parole. Rated as a poor violence risk.
- 27) First arrested as a juvenile, was age 20 at commitment, and had nine total arrests. Served 51 months on a 25-year sentence for robbery with aggravation. Alcoholic. Returned to prison as parole violator following a prison term for a new robbery conviction in Illinois acquired after five months on parole. Rated as a very poor violence risk.
- 28) First arrested at age 15, was age 19 at commitment, and had twelve total arrests, six juvenile commitments for auto theft, and two prior adult probations for auto theft and burglary (revoked). Served 49 months on an 11-year sentence for burglary, auto theft, and escape. Problem use of alcohol, hallucinogens, and other drugs, and use of cocaine and heroin. Received new 2-year sentence for terrorism reduced to assault with intent to inflict serious injury after nine months on parole. Rated as fair violence risk and very poor property risk.
- 29) First arrested at age 15, was age 31 at commitment, and had 14 total arrests - including prior charges of attempted murder, aggravated assault on a police officer, battery, and two robberies - a juvenile probation for car theft, and an adult probation for burglary. Served 22 months on a 10-year sentence for robbery and assault with intent to rob (two counts of robbery, grand larceny, and carrying a concealed weapon dismissed). Heroin addiction. Returned to prison as a parole violator following a prison term for a new robbery conviction in Illinois acquired after one month on parole. Rated as a poor violence risk.
- 30) First arrested at age 14, was age 20 at commitment, and had 11 total arrests and three juvenile commitments for auto theft and burglary. Served 35 months on 10-year sentence for robbery. Received a new 10-year sentence for robbery in the first degree reduced to robbery in the second degree after six months on parole. Rated as a very poor violence risk.
- 31) First arrested at age 12, was age 19 at commitment, and had nine total arrests, a juvenile commitment for burglary and a jail term for assault with intent to inflict great bodily injury. Served 35 months on a 10-year sentence for robbery and burglary. Received a new 5-year sentence for assault while participating in a felony after nine months on parole, with a new charge of robbery in the first degree dismissed. Rated as a very poor violence risk.
- 32) First arrested at age 15, was age 20 at commitment, and had nine total arrests, a juvenile commitment for robbery with aggravation and an adult probation for robbery (revoked). Served 37 months on a 10-year sentence for robbery and forgery. Received a new 10-year sentence for conspiracy to commit kidnapping after nine months on parole, with a new charge of kidnapping in the second degree dismissed. Rated as a very poor violence risk.

- 33) First arrested at age 15, was age 19 at commitment, and had four total arrests and two juvenile commitments for burglary. Served 12 months on a 10-year sentence for robbery in the second degree. Received a new 10-year sentence for robbery in the first degree reduced to robbery in the second degree after 17 months on parole. Rated as a poor violence risk.
- 34) First arrested at age 21, was age 32 at commitment, and had 11 total arrests, two prior adult probations for obtaining money under false pretenses and receiving and concealing stolen property, and three prior prison terms for auto theft, possession of narcotics, and burglary. Served 37 months on a 10-year sentence for robbery. History of drug abuse. Received new 10-year sentence for robbery in the second degree after 13 months on parole. Rated as a very poor violence risk.
- 35) First arrested at age 16, was age 18 at commitment, and had 8 total arrests and two juvenile commitments for burglary. Served 35 months on a 10-year sentence for two counts of burglary. History of drug and alcohol problems. Received new 10-year sentence for willful injury after 13 months on parole. Rated as a poor property risk.
- 36) First arrested at age 15, was age 24 at commitment, and had nine total arrests, a juvenile commitment for burglary, two jail terms for burglary and aggravated assault, and a prior prison term for forgery. Served 25 months on a 10-year sentence for robbery in the second degree. Received a new life sentence for two counts of murder in the first degree after 14 months on parole. Rated as a very poor violence risk.
- 37) First arrested at age 15, was age 23 at commitment, and had 16 total arrests, three juvenile commitments for burglary, and a prior prison term for aggravated robbery (kidnapping charge dismissed). Served 50 months on a 30-year sentence for robbery with aggravation and assault with intent to murder. Heroin addiction. Received new life sentence for murder in the first degree after 17 months on parole. Rated as a very poor violence risk.
- 38) First arrested at age 14, was age 29 at commitment, and had nine total arrests, a juvenile commitment for burglary, and two prior prison terms for burglary and larceny. Served 15 years and nine months on a 40-year sentence for escape and being an habitual criminal convicted of robbery. Received a new 25-year sentence for robbery in the first degree and burglary in the first degree after 27 months on parole. Rated as a very poor violence risk.
- 39) First arrested at age 11, was age 22 at commitment, and had 15 total arrests, two juvenile probations for auto theft, a juvenile commitment for auto theft, an adult probation for auto theft, and a prior prison term for delivery of a controlled substance. Served 50 months on a 25-year sentence for robbery with aggravation. Heroin and cocaine use. Received a new 10-year sentence for robbery in the second degree after 15 months on parole. Rated as a very poor violence risk.
- 40) First arrested at age 11, was age 17 at commitment, and had 19 total arrests, four juvenile probations for burglary, auto theft, and larceny from a person, and a juvenile commitment for robbery, larceny, and carrying a concealed weapon. Served 43 months on a 10-year sentence for burglary (sodomy charge dropped). Received a new 10-year sentence for robbery in the second degree after nine months on parole. Rated as a very poor violence risk.

- 41) First arrested at age 18, was age 22 at commitment, and had five total arrests and a prior adult probation for larceny (revoked). Served 29 months on a 10-year sentence for robbery in the second degree and larceny. Alcoholic. Received a new 25-year sentence for robbery in the first degree after seven months on parole. Rated as a poor violence risk.
- 42) First arrested at age 16, was age 18 at commitment, and had 11 total arrests, three juvenile commitments for undetermined offenses, and a prior adult probation for burglary (revoked). Served 18 months on a 10-year sentence for two counts of burglary in the second degree. Cocaine use. Received a new 25-year sentence for burglary in the first degree and robbery in the second degree after 13 months on parole. Rated as a fair violence risk and a very poor property risk.
- 43) First arrested at age 13, was age 25 at commitment, and had 27 total arrests, a juvenile commitment for auto theft, two jail terms for vandalism and larceny, and two prior prison terms for two counts of rape and auto theft. Served 78 months of a 25-year sentence for robbery with aggravation. Alcoholic. Received a new 10-year sentence for robbery in the second degree after 12 months on parole. Rated as a very poor violence risk.
- 44) First arrested at age 19, was age 28 at commitment, and had 15 total arrests and a jail term for burglary. Served 42 months on a 20-year sentence for burglary (struck victim, threat to kill child). Alcohol problem. Received a new 5-year sentence for terrorism after 16 months on parole. Rated as a poor violence risk.
- 45) First arrested at age 10, was age 18 at commitment, and had 11 total arrests, four juvenile commitments for assault, and two prior prison terms for assault with intent to inflict great bodily injury, escape, and two counts of malicious injury to a building. Served 44 months on a 5-year sentence for assault with intent to inflict great bodily injury and going armed with intent. Received new life sentence for murder in the first degree and kidnapping in the first degree after four months on parole. Rated as a very poor violence risk.
- 46) First arrested at age 14, was age 19 at commitment, and had six total arrests and a prior adult probation for burglary. Served 23 months on a 10-year sentence for burglary (assault charge dismissed). Amphetamine abuse. Received a new 2-year sentence for assault with intent to inflict serious injury after 10 months on parole, with a new charge of burglary in the first degree dropped. Rated as a poor violence risk.
- 47) First arrested at age 11, was age 17 at commitment, and had 10 total arrests and four juvenile probations for robbery with aggravation, robbery, forgery, and assault. Served 49 months on a 10-year sentence for robbery. Alcoholic. Received a new 10-year sentence for robbery in the second degree after five months on parole. Rated as a very poor violence risk.
- 48) First arrested as a juvenile, was age 18 at commitment, and had nine total arrests, including a robbery charge, and a long history of assault. Served 40 months of a 10-year sentence for burglary in the second degree. Received a new 10-year sentence for robbery in the first degree reduced to robbery in the second degree after six months of parole. Rated as a poor violence risk.

- 49) First arrested at age 14, was age 21 at commitment, and had seven total arrests, a juvenile commitment for burglary and a prior adult probation for burglary (revoked). Served 21 months on a 10-year sentence for burglary and criminal mischief in the second degree. Alcohol and drug problem. Received a new 5-year sentence for extortion after six months on parole. Rated as a good risk (juvenile record expunged -- probable under-assessment).
- 50) First arrested at age 14, was age 18 at commitment, and had 18 total arrests and two juvenile commitments for burglary and theft (murder charge at age 17 not prosecuted). Served 23 months on a 10-year sentence for burglary in the second degree. Received a new 10-year sentence for robbery in the first degree and burglary in the first degree, reduced to robbery in the second degree, after 14 months on parole. Rated as a fair violence risk and a very poor property risk.
- 51) First arrested at age 14, was age 31 at commitment, and had nine total arrests, a juvenile commitment for burglary, and three prior prison terms for auto theft (twice) and assault with intent to murder. Served nine years and three months on a 50-year sentence for murder in the second degree. Alcoholic. Received a new 10-year sentence for sexual abuse in the third degree after 13 months on parole. Rated as a very poor violence risk.
- 52) First arrested at age 13, was age 18 at commitment, and had four total arrests, including a charge of robbery in the first degree dismissed. Served 25 months on a 10-year sentence for robbery in the second degree. Alcoholic. Received a new life sentence for murder in the first degree after 14 months on parole. Rated as a poor violence risk.
- 53) First arrested at age 12, was age 18 at commitment, and had seven total arrests and a juvenile probation for burglary. Served 19 months on a 10-year sentence for burglary in the second degree. Alcohol and drug problem. Received a new 25-year sentence for burglary in the first degree and terrorism after nine months on parole. Rated as a fair violence risk and a very poor property risk.
- 54) First arrested at age 14, was age 24 at commitment, and had seven total arrests and a prior prison term for larceny. Served 22 years and nine months of a life sentence for murder in the first degree. Received a new 5-year sentence for lascivious acts with a child after 10 months on parole. Rated as a poor violence risk.
- 55) First arrested at age 15, was age 27 at commitment, and had eight total arrests, two juvenile probations for shoplifting and vandalism, and a prior prison term for attempted arson. Served 65 months on a 20-year sentence for assault with intent to rape (assault with intent to murder charge dismissed). Alcoholic. Received a new life sentence for murder in the first degree after four months on parole. Rated as a good risk.
- 56) First arrested at age 18, was age 23 at commitment, and had 10 total arrests and a prior prison term for robbery. Served 37 months on a 10-year sentence for robbery. Alcohol problem. Received a new 10-year sentence for robbery in the second degree after 11 months on parole. Rated as a poor violence risk.
- 57) First arrested at age 15, was age 20 at commitment, and had three total arrests and a prior adult probation for burglary (revoked). Served 18 months on a 10-year sentence for burglary in the second degree and theft in the third degree. Drug and alcohol problem. Received a new 10-year sentence for robbery in the second degree after 10 months on parole. Rated as a good risk.

CASE HISTORIES OF EX-PRISONERS RETURNED TO  
PRISON FOR NEW VIOLENT CRIMES AFTER DISCHARGE FROM PRISON OR PAROLE

- 1) First arrested at age 12, was age 26 at commitment, and had 46 total arrests, four juvenile probations for larceny and accepting stolen money, a juvenile commitment for auto theft, and a jail term for larceny in the nighttime. Served 22 months on a 10-year sentence for forgery and possession of stolen mail (rape charge dismissed in previous year). History of alcohol problem. Received new 25-year sentence for robbery in the first degree (nine counts dropped) 20 months after parole and seven months after discharge from parole. Rated as a very poor violence risk.
- 2) First arrested at age 12, was age 24 at commitment, and had 11 total arrests, three juvenile commitments for undetermined offenses, an adult probation for burglary, and a prior prison term for burglary. Served 48 months on a 10-year sentence for robbery. Alcohol problem. Received a new 10-year sentence for robbery in the first degree reduced to robbery in the second degree seven months after parole and two months after discharge from parole. Rated as a very poor violence risk.
- 3) First arrested at age 15, was age 33 at commitment, and had 10 total arrests and five prior prison terms for auto theft, escape, robbery with aggravation, burglary, and escape again. Served 34 months on a 5-year sentence for assault with intent to rape, assault with intent to maim, and conspiracy. Received a new life sentence for murder in the first degree nine months after discharge from prison. Rated as a very poor violence risk.
- 4) First arrested at age 9, was age 16 at commitment, and had 12 total arrests and a juvenile probation for burglary. Served 47 months on a 10-year sentence for burglary (rape charge dismissed). Received a new 25-year sentence for robbery in the first degree 31 months after discharge from prison. Rated as a very poor violence risk.
- 5) First arrested at age 14, was age 25 at commitment, and had seven total arrests and two jail terms for forgery and possession of heroin with intent to deliver. Served 36 months on a 10-year sentence for robbery. Heroin addiction. Received a new 25-year sentence for robbery in the first degree 24 months after discharge from prison (previously returned as a parole violator). Rated as a poor violence risk.
- 6) First arrested at age 16, was age 30 at commitment, and had 43 total arrests, a juvenile commitment for auto theft, a jail term for assault with intent to inflict serious injury, and two prior prison terms for burglary. Served 53 months on a 10-year sentence for burglary. Alcohol problem. Received a new 10-year sentence for willful injury six months after discharge from prison (previously returned to prison twice as a parole violator, one for an aggravated battery charge). Rated as a very poor violence risk.
- 7) First arrested at age 14, was age 26 at commitment, and had 24 total arrests, two juvenile probations for grand larceny and auto theft, two juvenile commitments for burglary, grand larceny, and attempted rape, and three prior prison terms for burglary with aggravation, rape, and delivery of narcotics. Served 52 months on a 10-year sentence for attempted rape. History of heroin addiction. Received a new 10-year sentence for kidnapping in the third degree 22 months after discharge from prison. Rated as a very poor violence risk.

- 8) First arrested at age 16, was age 21 at commitment, and had seven total arrests (rape and assault charges not prosecuted) and two juvenile probations for burglary. Served 20 months on a 5-year sentence for assault with intent to rape. Alcohol problem. Received a new 2-year sentence for a kidnapping charge reduced to assault with intent to inflict serious injury 23 months after parole and nine months after discharge from parole. Rated as a poor violence risk.
- 9) First arrested at age 18, was age 23 at commitment, and had 11 total arrests, an adult probation for auto theft, a jail term for auto theft, and a prior prison term for assault with intent to rob reduced to theft. Served 41 months on a 10-year sentence for uttering a forged instrument. Problem use of alcohol, hallucinogens, and other drugs. Received a new life sentence for murder in the first degree and kidnapping in the first degree 15 months after discharge from prison (previously returned as a parole violator). Rated as a poor violence risk.
- 10) First arrested at age 16, was age 45 at commitment, and had 43 total arrests (10 for violent crimes), a juvenile probation for burglary, three jail terms for assault with intent to inflict great bodily injury (twice) and carrying a concealed weapon, and three prior prison terms for burglary, manslaughter, and larceny in the nighttime. Served 12 months on an 18-month sentence for theft in the third degree (robbery charge dismissed). Alcohol problem. Received a new 25-year sentence for robbery in the first degree 16 months after discharge from prison. Rated as a very poor violence risk.
- 11) First arrested at age 16, was age 25 at commitment, and had four total arrests, a juvenile commitment for assault, and an adult probation for lewd and lascivious acts. Served 34 months on a 5-year sentence for lascivious acts with a child. History of drug problem. Received a new 5-year sentence for sexual abuse in the second degree reduced to assault while participating in a felony 18 months after discharge from prison. Rated as a good risk.
- 12) First arrested at age 16, was age 23 at commitment, and had 12 total arrests. Served six months on a 2-year sentence for assault with intent to inflict serious injury (reduced from willful injury). Problem use of amphetamines. Received a new 20-year sentence for two counts of sexual abuse in the third degree 30 months after discharge from prison (charges of kidnapping in the first degree and burglary in the first degree dismissed). Rated as a poor violence risk.
- 13) First arrested at age 16, was age 24 at commitment, and had 14 total arrests (rape charge not prosecuted and four arrests for indecent exposure), a jail term for auto theft, and a bond forfeiture for malicious injury to a building. Served 53 months on a 10-year sentence for robbery (reduced from two counts of assault with intent to rape). Alcohol problem. Received a new life sentence for kidnapping in the first degree and sexual abuse in the second degree (charge of kidnapping in the first degree, sexual abuse in the second degree, and assault while participating in a felony dismissed). Rated as a poor violence risk.
- 14) First arrested at age 11, was age 26 at commitment, and had eight total arrests and a prior prison term for auto theft (not guilty or dismissal on charges of assault, sexual assault, sodomy, strong-arm rape, and assault with intent to rape). Served 57 months on a 15-year sentence for forcible rape. Opium and methadrine addiction and history of heroin addiction. Received a new life sentence for murder in the first degree 34 months after parole and 20 months after discharge from parole. Rated as a very poor violence risk.

- 15) First arrested at age 16, was age 19 at commitment, and had nine total arrests, a juvenile probation for conspiracy to pass a forged check, and an adult probation for assault with intent to rob. Served 88 months on a 17-year sentence for murder in the second degree and burglary. Received a new life sentence for murder in the first degree nine months after discharge from prison. Rated as a very poor violence risk.
- 16) First arrested at age 15, was age 25 at commitment, and had 28 total arrests, three juvenile probations for shoplifting and auto theft, a juvenile commitment for auto theft, a jail term for grand larceny, and two prior prison terms for jailbreak and larceny in the nighttime. Served 36 months on a 5-year sentence for receiving and concealing stolen property, conspiracy, and jailbreak (not guilty on charge of robbery with aggravation). History of alcohol problem. Received a new 25-year sentence for robbery in the first degree 11 months after discharge from prison (acquitted on two counts of murder in the first degree). Rated as a very poor violence risk.
- 17) First arrested at age 17, was age 24 at commitment, and had 14 total arrests and an adult probation for false drawing and uttering of checks. Served 22 months on a 10-year sentence for uttering a forged instrument and false drawing and uttering of checks, followed by 20 months on a 5-year sentence for shoplifting acquired while on parole. History of heroin addiction and morphine use. Received a new 25-year sentence for robbery in the first degree 33 months after a second parole and eight months after discharge from parole. Rated as a poor property risk.
- 18) First arrested at age 15, was age 18 at commitment, and had four total arrests and a juvenile probation for shoplifting. Served 16 months on a 2-year sentence for operating a motor vehicle without the owner's consent. Received a new 10-year sentence for sexual exploitation of a child 16 months after discharge from prison. Rated as a poor property risk.
- 19) First arrested at age 9, was age 23 at commitment, and had 24 total arrests, a juvenile probation for burglary, two juvenile commitments for larceny, auto theft, and burglary, and a jail term for assault with intent to inflict great bodily injury. Was found not guilty on a murder charge during the year previous to commitment and while on probation for the committing offense. Served nine months on a 2-year sentence for assault with intent to rape. Problem use of glue. Received a new 10-year sentence for willful injury 10 months after discharge from prison. Rated as a very poor violence risk.
- 20) First arrested at age 17, was age 31 at commitment, and had five total arrests. Served 61 months on a 10-year sentence for robbery and escape. Received a new 2-year sentence for assault with intent to inflict serious injury six months after discharge from prison. Rated as a poor violence risk.
- 21) First arrested at age 27, was age 39 at commitment, and had nine total arrests and three prior prison terms for auto theft, larceny in the nighttime, and sodomy. Served 54 months on a 10-year sentence for robbery. Alcohol problem. Received a new 10-year sentence for robbery in the second degree 26 months after discharge from prison. Rated as a very poor violence risk.
- 22) First arrested at age 14, was age 24 at commitment, and had 11 total arrests, a juvenile commitment for larceny, an adult probation for auto theft, and a prior prison term for a second auto theft. Served 61 months on a 10-year sentence for larceny in the nighttime and escape. Received a new life sentence for murder in the first degree and kidnapping in the first degree 12 months after parole and five months after discharge from parole. Rated as a poor property risk.

CASE HISTORIES OF PAROLEES  
ARREST-FREE FOR THREE YEARS AFTER RELEASE

- 1) First arrested at age 22, was age 26 at commitment, and had two total arrests. Served five months on a 5-year sentence for delivery of marijuana. Rated as a very good risk.
- 2) First arrested at age 19, was age 29 at commitment, and had three total arrests. Served 12 months on a 5-year sentence for assault with intent to rape. History of alcohol problem. Rated as a good risk.
- 3) First arrested at age 20, was age 23 at commitment, and had seven total arrests. Served 10 months on a 10-year sentence for false use of a financial instrument. Alcohol problem. Rated as a good risk.
- 4) First arrested at age 12, was age 20 at commitment, and had nine total arrests, a juvenile probation for theft, and a prior prison term for receiving stolen property. Served 12 months on a 5-year sentence for larceny. Rated as a poor property risk.
- 5) First arrested at age 12, was age 20 at commitment, and had seven total arrests. Served 19 months on a 5-year sentence for theft in the second degree (writing bad checks). Rated as a good risk.
- 6) First arrested at age 19, was age 20 at commitment, and had two total arrests -- both for robbery with aggravation. Served 35 months on a 25-year sentence for one count of robbery with aggravation. Alcohol problem and cocaine use. Rated as a poor violence risk.
- 7) First arrested at age 52, was age 52 at commitment and had no prior arrest. Served 33 months on a 10-year sentence for murder in the second degree. Rated as a very good risk.
- 8) First arrested at age 19, was age 22 at commitment, and had six total arrests and two adult probations for burglary and larceny. Served 30 months on a 5-year sentence for receiving stolen goods and larceny in the nighttime. Heroin and cocaine use. Rated as a poor property risk.
- 9) First arrested at age 30, was age 49 at commitment, and had two total arrests. Served 30 months on a 15-year sentence for possession of dynamite and blasting caps. Alcohol problem. Rated as a very good risk.
- 10) First arrested at age 18, was age 21 at commitment, and had six total arrests and an adult probation for uttering a forged instrument. Served 17 months on a 5-year sentence for possession of marijuana with intent to deliver. Cocaine use. Rated as a good risk.
- 11) First arrested at age 21, was age 68 at commitment, and had 10 total arrests and five prior prison terms for forgery, burglary, and attempted arson. Served 41 months on a 10-year sentence for burglary. Alcohol problem. Rated as a poor property risk.
- 12) First arrested at age 26, was age 38 at commitment, and had five total arrests and one prior prison term for burglary with aggravation. Served 35 months on a 25-year sentence for robbery with aggravation. Alcohol problem. Rated as a good risk.

- 13) First arrested at age 25, was age 54 at commitment, and had two total arrests. Served 22 months on a 5-year sentence for two counts of lascivious acts with a child. Rated as a very good risk.
- 14) First arrested at age 17, was age 34 at commitment, and had 40 arrests, two adult probations for forgery, a jail term for carrying a concealed weapon, and five prior prison terms for auto theft, burglary, forgery, and escape. Served 35 months on a 10-year sentence for two counts of burglary (charge of assault with intent to commit a felony dropped). Alcohol problem. Rated as a poor violence risk.
- 15) First arrested at age 17, was age 22 at commitment, and had five total arrests, an adult probation for uttering a forged treasury check, and a prior prison term for seven counts of burglary and two counts of theft. Served 23 months on a 10-year sentence for burglary. Alcohol problem. Rated as a good risk.
- 16) First arrested at age 15, was age 24 at commitment, and had four total arrests. Served 24 months on a 10-year sentence for larceny in the nighttime. Alcohol problem and history of problem use of hallucinogens. Rated as a poor property risk.
- 17) First arrested at age 15, was age 36 at commitment, and had 14 total arrests and a suspended jail term for larceny of domestic animals. Served nine months on a 2-year sentence for larceny in the nighttime. Alcohol problem. Rated as a good risk.
- 18) First arrested at age 16, was age 26 at commitment, and had eight total arrests, a juvenile commitment for auto theft, a jail term for grand theft, an adult probation for auto theft, and a prior prison term for burglary of an auto. Served 24 months on a 20-year sentence for burglary. Rated as a poor property risk.
- 19) First arrested at age 44, was age 44 at commitment and had no prior arrest. Served five months on a 2-year sentence for theft in the third degree (writing bad checks). Alcohol problem. Rated as a very good risk.
- 20) First arrested at age 15, was age 28 at commitment, and had 11 total arrests, two juvenile commitments for burglary and theft, and a prior prison term for auto theft. Served 6 1/2 months on a 25-year sentence for robbery with aggravation and escape. Alcohol problem. Rated as a very poor violence risk.
- 21) First arrested at age 18, was age 29 at commitment, and had three total arrests. Served three months on a 1-year sentence for abandoning a leased vehicle. Rated as a very good risk.
- 22) First arrested at age 20, was age 31 at commitment, and had seven total arrests, a jail term for auto theft, a suspended jail sentence for carrying a concealed weapon and possession of controlled substances with intent to deliver, a suspended prison sentence for larceny in the nighttime, and a prior prison term for burglary. Served 18 months on a 5-year sentence for possession of controlled substances with intent to deliver. Problem use of heroin and amphetamines. Rated as a good risk.

- 23) First arrested at age 17, was age 60 at commitment, and had 42 total arrests, a suspended jail term for obtaining money under false pretenses, a jail term for writing bad checks, and seven prior prison terms for receiving stolen property, con games, writing bad checks, forgery, delivery of controlled substances, and gun-law violations. Served 54 months on a 30-year sentence for delivery of heroin. Rated as a poor property risk.
- 24) First arrested at age 25, was age 35 at commitment, and had two total arrests and one prior prison term for assault with intent to commit manslaughter. Served 24 months on a 5-year sentence for assault with intent to commit manslaughter. Rated as a very good risk.
- 25) First arrested at age 17, was age 30 at commitment, and had four total arrests and an adult probation for attempted burglary. Served five months on a 10-year sentence for larceny in the nighttime. Cocaine use and history of drug problem. Rated as a good risk.
- 26) First arrested at age 12, was age 39 at commitment, and had 16 total arrests, a juvenile commitment for burglary and theft, an adult probation for uttering counterfeit notes, and five prior prison terms for lascivious acts with a child, burglary, and escape. Served 46 months on a 15-year sentence for larceny in the nighttime and being an habitual criminal. Rated as a good risk.
- 27) First arrested at age 17, was age 61 at commitment, and had 28 total arrests, a jail term for robbery, and five prior prison terms for burglary, grand larceny, auto theft, assault with intent to inflict great bodily injury, and mail fraud. History of alcohol problem. Rated as a poor property risk.
- 28) First arrested at age 15, was age 34 at commitment, and had three total arrests, and two juvenile probations for theft. Served 63 months on a 35-year sentence for murder in the second degree. Rated as a very good risk.
- 29) First arrested at age 12, was age 29 at commitment, and had 17 total arrests, a juvenile probation for burglary, and an adult probation for malicious threats. Served 70 months on a 20-year sentence for forcible rape. Rated as a very poor violence risk.
- 30) First arrested at age 18, was age 31 at commitment, and had 13 total arrests and a prior prison term for theft. Served 22 months on a 10-year sentence for burglary and larceny. Alcohol problem. Rated as a good risk.
- 31) First arrested at age 21, was age 28 at commitment and had five total arrests. Served 13 months on a 5-year sentence for possession of marijuana with intent to deliver. History of problem use of hallucinogens. Rated as a good risk.
- 32) First arrested at age 19, was age 22 at commitment, and had eight total arrests. Served 19 months on a 10-year sentence for burglary and carrying a concealed weapon (assault with intent to inflict great bodily injury dismissed). Alcohol problem. Rated as a poor violence risk.
- 33) First arrested at age 57, was age 57 at commitment, and had three total arrests. Served 11 months on a 5-year sentence for carrying a concealed weapon. Alcohol problem. Rated as a very good risk.
- 34) First arrested at age 20, was age 24 at commitment, and had four total arrests and an adult probation for OMVUI-2nd offense. Served 17 months on a 5-year sentence for OMVUI-3rd offense. Alcohol problem and cocaine use. Rated as a good risk.

- 35) First arrested at age 17, was age 20 at commitment, and had three total arrests and an adult probation for larceny in the nighttime (revoked). Served 19 months on a 10-year sentence for larceny in the nighttime and statutory rape. Alcohol problem. Rated as a good risk.
- 36) First arrested at age 14, was age 21 at commitment, and had 11 total arrests and an adult probation for possession with intent to deliver marijuana (revoked). Served 13 months on a 5-year sentence for carrying a concealed weapon and four counts of possession with intent to deliver marijuana and cocaine. Cocaine use. Rated as a very poor property risk.
- 37) First arrested at age 31, was age 31 at commitment, and had no prior arrest. Served nine months on a 5-year sentence for embezzlement. Rated as a very good risk.
- 38) First arrested at age 17, was age 29 at commitment, and had seven total arrests. Served 10 months on a 10-year sentence for burglary in the second degree. Rated as a good risk.
- 39) First arrested at age 15, was age 18 at commitment, and had nine total arrests. Served 17 months on a 5-year sentence for delivery of LSD. Drug problem. Rated as a poor property risk.
- 40) First arrested at age 16, was age 24 at commitment, and had six total arrests. Served 12 months on a 5-year sentence for delivery of marijuana. Alcohol problem. Rated as a good risk.
- 41) First arrested at age 18, was age 23 at commitment, and had five total arrests and a suspended sentence for OMVUI-2nd offense. Served eight months on a 5-year sentence for OMVUI-3rd offense. Alcohol problem. Rated as a good risk.
- 42) First arrested at age 20, was age 29 at commitment, and had 16 total arrests, a fine for OMVUI-2nd offense, a suspended jail term for auto theft, and a prior prison term for burglary. Served 32 months on a 20-year sentence for burglary (reduced from burglary with aggravation). Alcohol problem. Rated as a poor violence risk.
- 43) First arrested at age 14, was age 19 at commitment, and had five total arrests and two juvenile probations for burglary, theft, and vandalism. Served 12 months on a 5-year sentence for statutory rape. Rated as a good risk.
- 44) First arrested at age 16, was age 36 at commitment, and had eight total arrests and a juvenile commitment for burglary. Served 16 months on a 5-year sentence for embezzlement by agent. Alcohol problem. Rated as a good risk.
- 45) First arrested at age 18, was age 25 at commitment, and had five total arrests. Served 10 months on a 2-year sentence for two counts of driving with license barred as an habitual offender. Alcohol problem. Rated as a very good risk.
- 46) First arrested at age 16, was age 22 at commitment, and had five total arrests and two juvenile probations for auto theft and assault with a motor vehicle. Served 30 months on a 25-year sentence for robbery with aggravation. Alcohol problem and heroin and cocaine use. Rated as a poor violence risk.
- 47) First arrested at age 37, was age 37 at commitment, and had no prior arrest. Served 28 months on a 20-year sentence for arson of a dwelling. Rated as a very good risk.

- 48) First arrested at age 19, was age 21 at commitment, and had two total arrests and an adult probation for burglary. Served 24 months on a 20-year sentence for burglary. Problem use of opium, alcohol, and other drugs. Rated as a poor property risk.
- 49) First arrested at age 20, was age 21 at commitment, and had two total arrests. Served 17 months on a 7-year sentence for obtaining property by false pretenses. Rated as a good risk.
- 50) First arrested at age 24, was age 26 at commitment, and had two total arrests. Served nine months on a 5-year sentence for malicious injury to a building. Alcohol problem and history of drug problem. Rated as a good risk.
- 51) First arrested at age 15, was age 26 at commitment, and had five total arrests. Served six months on a 10-year sentence for robbery. Heroin use. Rated as a good risk.
- 52) First arrested at age 24, was age 24 at commitment, and had no prior arrest. Served seven months on a 5-year sentence for delivery of marijuana. Rated as a very good risk.
- 53) First arrested at age 17, was age 20 at commitment, and had five total arrests. Served 14 months on a 10-year sentence for uttering a forged instrument. Rated as a poor property risk.
- 54) First arrested at age 15, was age 23 at commitment, and had seven total arrests and a prior adult probation for auto theft. Served 12 months on a 10-year sentence for burglary. Alcohol problem. Rated as a good risk.
- 55) First arrested at age 15, was age 21 at commitment, and had six total arrests. Served 44 months on an 11-year sentence for burglary and two counts of escape. Alcohol problem. Rated as a good risk.
- 56) First arrested at age 19, was age 22 at commitment, and had four total arrests and a deferred sentence for burglary. Served 23 months on a 10-year sentence for burglary. Alcohol problem. Rated as a good risk.
- 57) First arrested at age 18, was age 32 at commitment, and had 15 total arrests, a jail term for carrying a concealed weapon and assault, and a prior prison term for assault with intent to inflict great bodily injury. Served 47 months on a 25-year sentence for incest. Alcohol problem. Rated as a good risk.

APPENDIX B  
SCORING SYSTEMS FOR NEW CHARGES

<u>Charge</u>	<u>Points</u>
Murder in the First Degree	40
Kidnapping in the First Degree	40
Sexual Abuse in the First Degree	40
Murder in the Second Degree	32
Kidnapping in the Second Degree	24
Sexual Abuse in the Second Degree	24
Robbery in the First Degree	20
Burglary in the First Degree	20
Attempt to Commit Murder	20
Voluntary Manslaughter	20
Kidnapping in the Third Degree	16
Sexual Abuse in the Third Degree	16
Willful Injury	14
Robbery in the Second Degree	12
Conspiracy to Commit a Forcible Felony	10
Involuntary Manslaughter	10
Terrorism	8
Assault While Participating in a Felony	8
Extortion	8
Going Armed with Intent	6
Assault with Intent to Inflict Serious Injury	6
False Imprisonment	6
Burglary in the Second Degree	5
Delivery of Narcotics	5
Theft in the First Degree	4
False Use of a Financial Instrument	4
Criminal Mischief in the Second Degree	4
Theft in the Second Degree	3
Possession of Firearm by Felon	3
Possession of Offensive Weapon	3
Delivery of Controlled Substances	3
Escape	3
Perjury	3
OMVUI - 3rd Offense	2
Parole Violation	2
Fugitive	2
Probation Violation	2
Failure to Appear	2
Carrying Weapons	2
Theft in the Third Degree	2
Operating MV Without Owner's Consent	2
OMVUI - 2nd Offense	1
Driving with License Barred as Habitual Offender	1
Criminal Mischief in the Third Degree	1
<u>Disposition of New Charges</u>	
Imprisonment	3
Jail Term	2
Other Conviction	1
No Conviction	0

APPENDIX C  
RISK ASSESSMENT FORMS

OFFENDER RISK ASSESSMENT  
STATE OF IOWA  
DATA COLLECTION

FORM A

CIRCLE EACH CATEGORY BELOW AS APPLICABLE

A. CURRENT OFFENSES

MURDER  
MANSLAUGHTER  
RAPE  
ATTEMPTED RAPE  
SEX OFFENSE AGT. JUVENILE  
ROBBERY OR ASSAULT TO ROB  
AGGRAVATED ASSAULT  
GOING ARMED WITH INTENT  
EXTORTION  
OTHER AGAINST PERSON(S)  
BURGLARY OR ATTEMPT  
MOTOR VEHICLE THEFT  
LARCENY-FIRST DEGREE  
OTHER LARCENY  
STOLEN PROPERTY  
FORGERY  
BAD CHECKS  
OTHER FRAUD  
EMBEZZLEMENT  
COUNTERFEITING  
ARSON  
VANDALISM  
SHOPLIFTING  
OTHER AGAINST PROPERTY  
OMVUI-1ST  
OMVUI-2ND OR 3RD  
OTHER ALCOHOL-RELATED  
DRUG-RELATED (NON-NARCOTIC)  
DRUG-RELATED (NARCOTICS)  
CARRYING A CONCEALED WEAPON  
OTHER WEAPONS  
CONSPIRACY  
AGAINST PUBLIC MORALS

AGAINST PUBLIC JUSTICE/AUTH.  
MISCELLANEOUS

V. YEARS OF SCHOOL 0-9 10+  
W. LEGALLY MARRIED NO YES  
X. PRE-TRIAL CONDITION ROR BAIL RWS DETENTION  
Y. PROBATION TIME JAIL RESIDENCE NEITHER

B. CURRENT AGE 18 19 20 21-24 25-29 30+  
C. AGE AT FIRST ARREST 0-12 13-14 15 16-17 18-19 20+  
D. PRIOR ARRESTS 0 1 2 3 4 5 6 7 8+  
E. JUVENILE CONVICTIONS 0 1 2 3 4 5 6 7+  
F. JUVENILE COMMITMENTS 0 1 2 3 4+  
G. PRIOR ADULT CONVICTIONS 0 1 2 3 4 5 6 7+  
H. PRIOR ADULT JAIL TERMS 0 1 2 3 4+  
I. PRIOR ADULT (PRISON) COMMITMENTS 0 1 2 3 4+  
J. PRIOR (JUVENILE OR ADULT) PROBATIONS 0 1 2 3 4+  
K. PRIOR CONVICTIONS (E+G) 0 1 2 3 4 5 6 7+  
L. PRIOR ADULT INCARCERATIONS (H+I) 0 1 2 3 4+  
M. PRIOR INCARCERATIONS (F+L) 0 1 2 3 4+  
N. PRIOR JAIL TERMS/JUVENILE COMMITMENTS (F+H) 0 1 2 3+  
O. PRIOR JAIL/PRISON/PROBATION (H+I+J) 0 1 2 3 4+  
P. KNOWN ALIASES NO YES  
Q. HISTORY OF DRUG/ALCOHOL PROBLEM ALCOHOL NON-NARCOTIC DRUGS NARCOTICS  
R. UNEMPLOYED NO YES  
S. EMPLOYABLE SKILL NO YES  
T. HIGH SCHOOL DIPLOMA NO YES  
U. GED NO YES

The following are the SAC's estimates of ultimate parole violation rates for the two periods of time.<sup>1</sup>

Period of Release	Parolees Released	Parole Violators Returned		
		New Violent Crime	New Non-Violent Crime	Total Violators
Pre-Guidelines	1046	48 (4.6%)	81 (7.7%)	260 (24.9%)
Guidelines	1235	37 (3.0%)	104 (8.4%)	313 (25.3%)
All Cases	2281	85 (3.7%)	185 (8.1%)	573 (25.1%)

In the above tabulation, the categories "New Violent Crime" and "New Non-Violent Crime" are limited to new felonies and aggravated misdemeanors. An additional undetermined number of parolees have returned or will return for new less serious misdemeanor charges. However, for purposes of this report, public protection was measured only in terms of new crime that could, according to criminal law, lead to new prison sentences.

We would first observe that from the Pre-Guidelines period to the Guidelines period there was virtually no change in the overall parole violation rate. In fact, based on Pre-Guidelines experience, there will be only five more parole violators returned than would be expected from the past violation rate. This difference is totally insignificant both statistically and in practical terms. Thus, we can say that despite a 52% increase in paroles, from 39 a month during the Pre-Guidelines period to 59 a month during the Guidelines period, the parole violation rate has remained unchanged. Going back to the comments in the beginning of this section, we would have to rate this fact as a major success for the Board of Parole.

The next point we wish to make concerns what the staff feels is the most important finding of the entire report, namely that the frequency of new violent crime by parolees is dropping significantly. From the Pre-Guidelines period to the Guidelines period, the rate of new violence among parolees dropped by 35%, from a rate of 4.6% down to 3.0%.<sup>2</sup>

The reduced rate of violence will -- according to the observed findings -- result in 20 fewer returns of parole violators for new violent crimes among the 1235 parolees released during the Guidelines period. This is at the rate of 12 fewer returns for such crimes for a year's worth of paroles.

As an indication of the trend toward reduced violence among parolees, we would observe that during 1981 there were five cases of parolees who received new first degree murder convictions. During 1982, there was not one single case of this type. Just one parolee was charged with first degree murder and that case has not yet been adjudicated. Further, the five previous cases were of parolees who were originally convicted of violent crimes, while the 1982 case was of a property offender with no record of violence.

<sup>1</sup> These differences, although estimated, are consistent with actual differences observed with a constant period of follow-up used to calculate "partial" parole violation rates. Thus, the changes in ultimate violation rates reflect changes in actual rates.

<sup>2</sup> Again, there are "ultimate rates" based on follow-up to the end of the parole period.

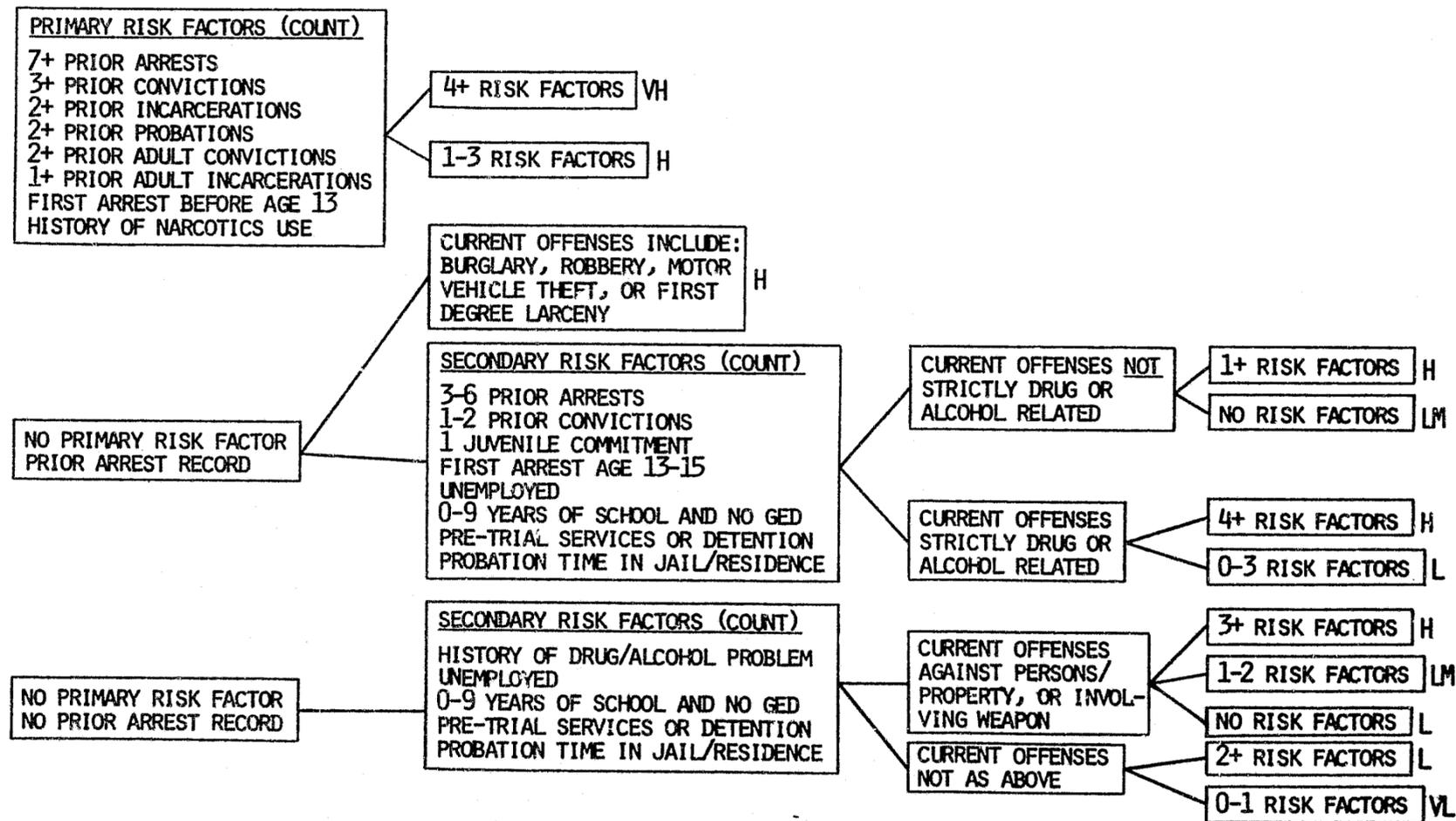
## CONVERSION OF RISK ASSESSMENT SYMBOLS

Statistical Analysis Center  
Office for Planning and Programming  
November 29, 1982

	<u>ORIGINAL SYSTEM</u>	<u>NEW SYSTEM</u>
General Risk:	Super Recidivist (SR)	Very Poor Risk
	Ultra-High Risk (UH)	Poor Risk
	Very-High Risk (VH)	Fair Risk
	High Risk (H)	Good Risk
	High-Medium Risk (HM)	Very Good Risk
	Low-Medium Risk (LM)	Very Good Risk
	Low Risk (L)	Excellent Risk
	Very-Low Risk (VL)	Excellent Risk
Violent Risk:	Super Recidivist (SR)	Very Poor Risk
	Ultra-High Risk (UH)	Poor Risk
	Very-High Risk (VH)	Fair Risk
	High Risk (H)	Fair Risk
	High-Medium Risk (HM)	Good Risk
	Low-Medium Risk (LM)	Very Good Risk
	Low Risk (L)	Excellent Risk
	Very-Low Risk (VL)	Excellent Risk
	Nil Risk (N)	Excellent Risk

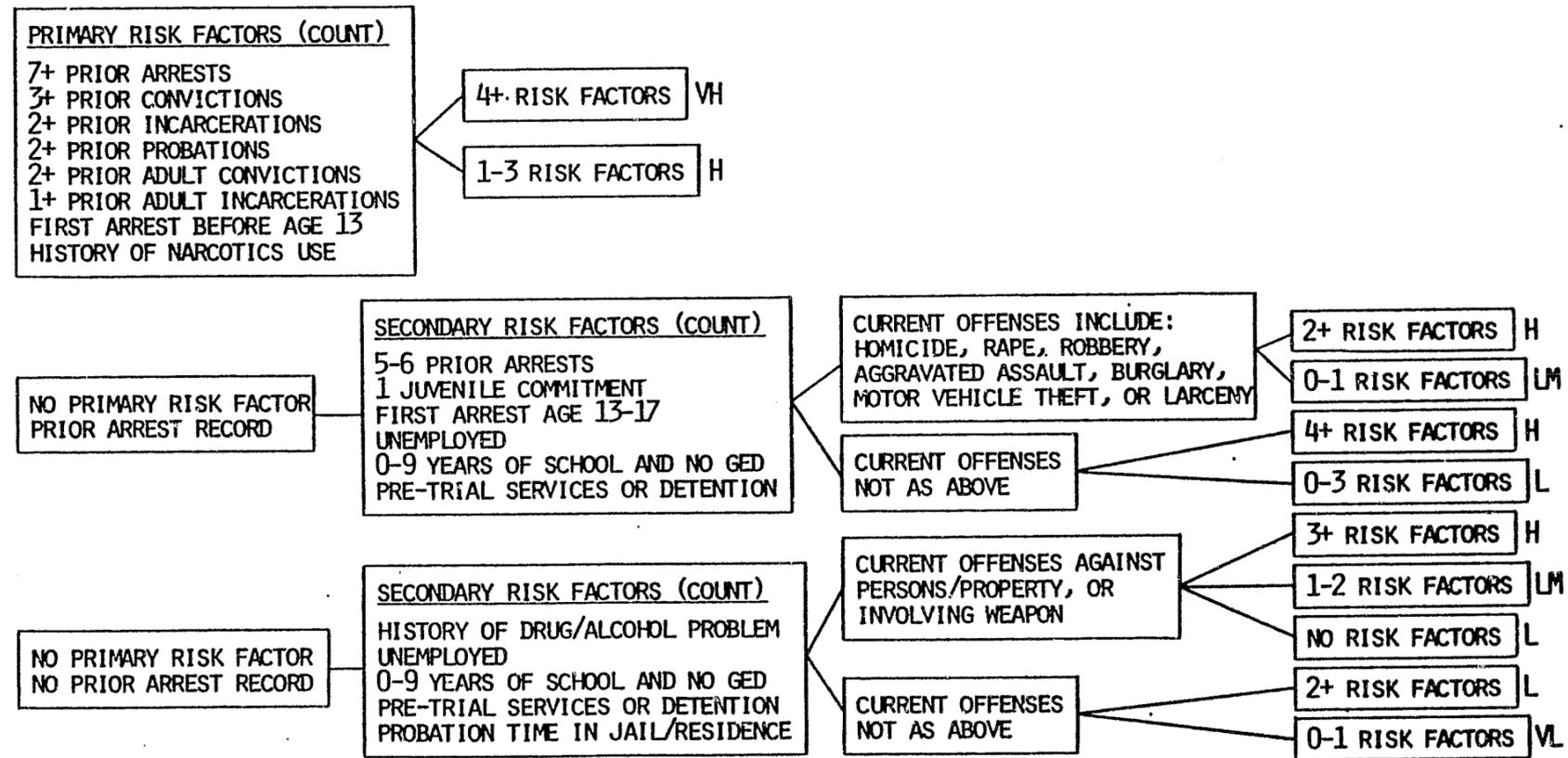
OFFENDER RISK ASSESSMENT  
 STATE OF IOWA  
 GENERAL RISK OF RECIDIVISM  
 OFFENDERS CURRENTLY AGE 18

FORM B1



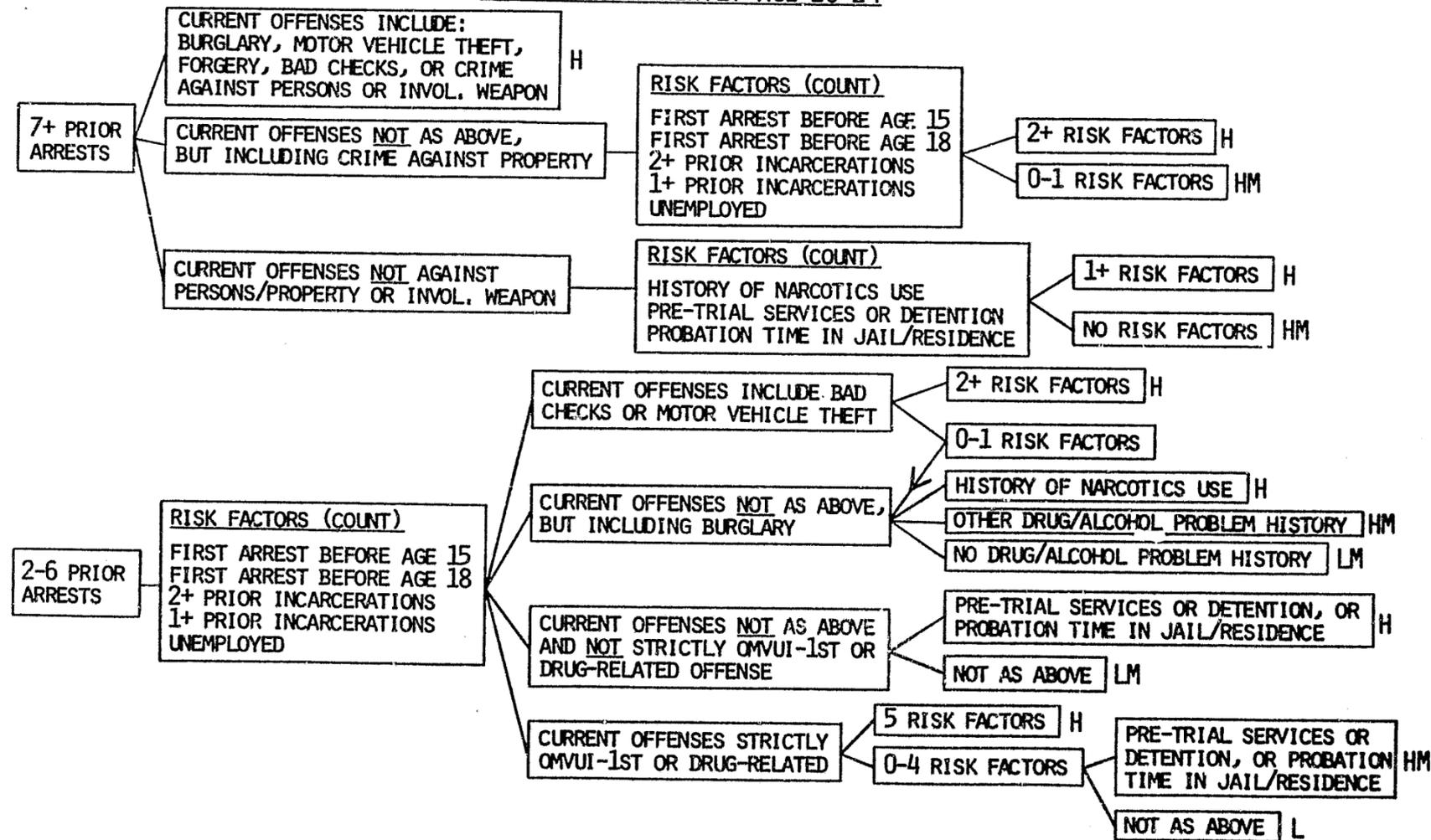
OFFENDER RISK ASSESSMENT  
 STATE OF IOWA  
 GENERAL RISK OF RECIDIVISM  
 OFFENDERS CURRENTLY AGE 19

FORM B2



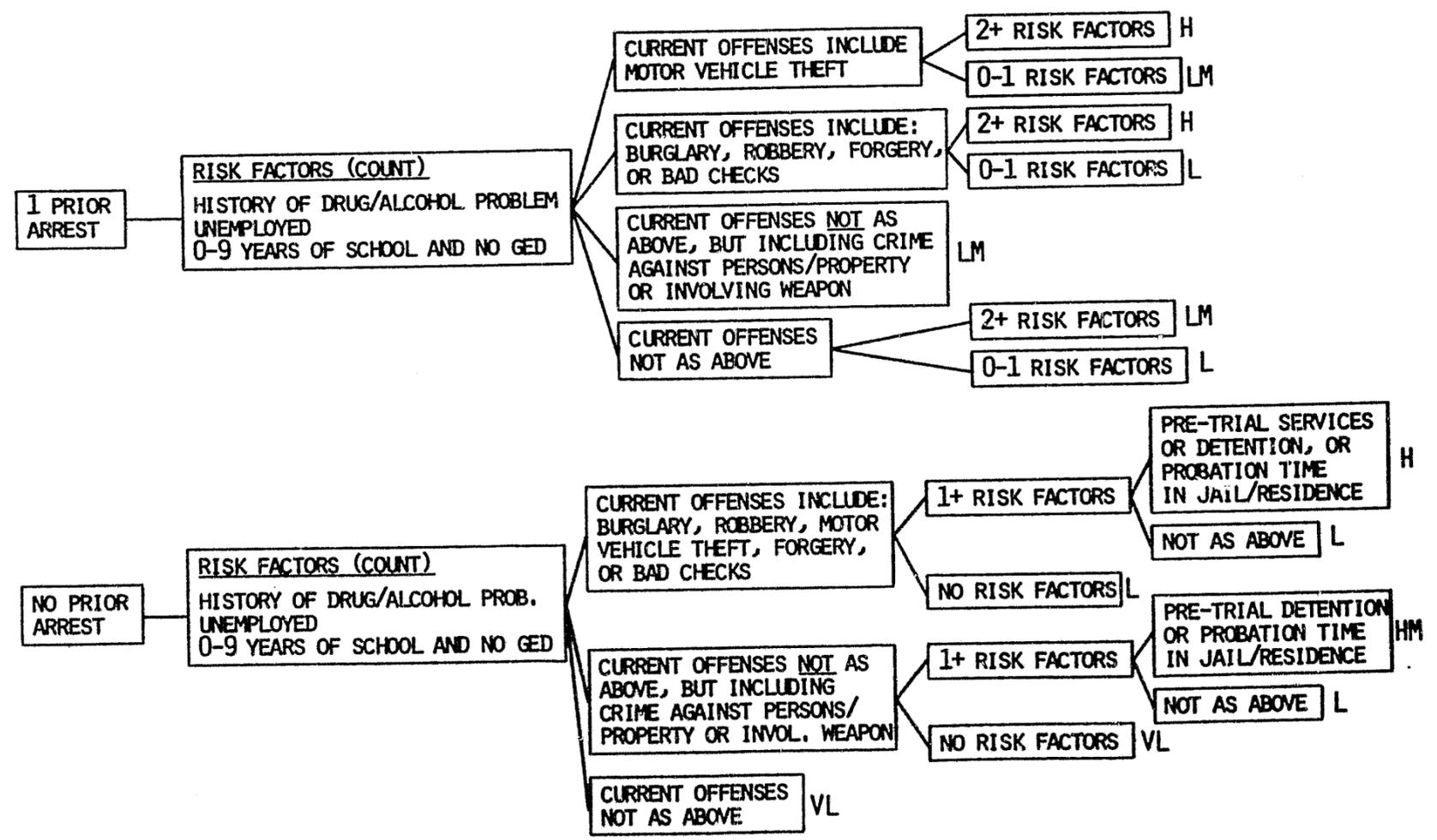
OFFENDER RISK ASSESSMENT  
 STATE OF IOWA  
 GENERAL RISK OF RECIDIVISM  
 OFFENDERS CURRENTLY AGE 20-24

FORM B3



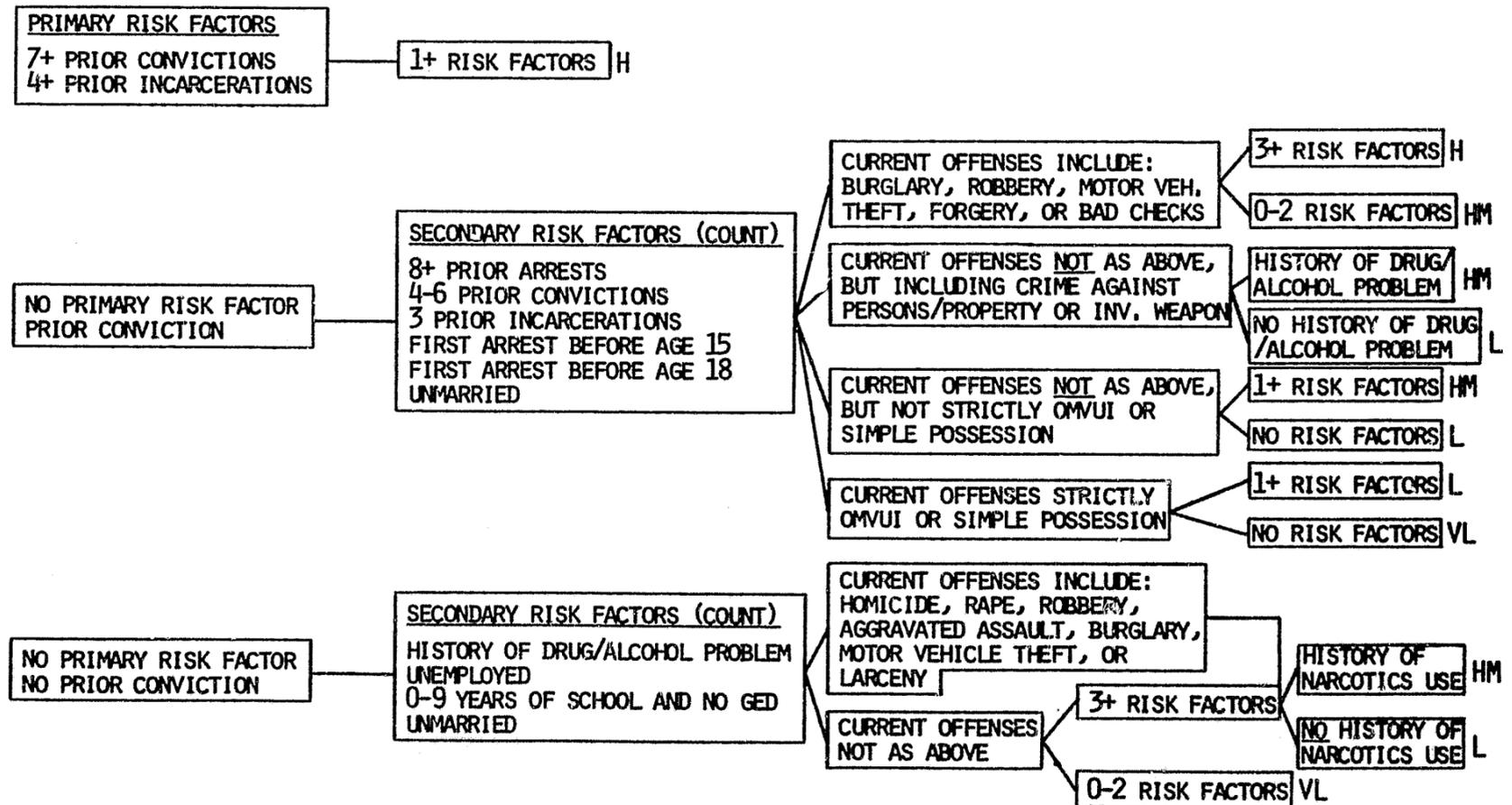
GENERAL RISK OF RECIDIVISM  
OFFENDERS CURRENTLY AGE 20-24  
(CONTINUED)

FORM B4



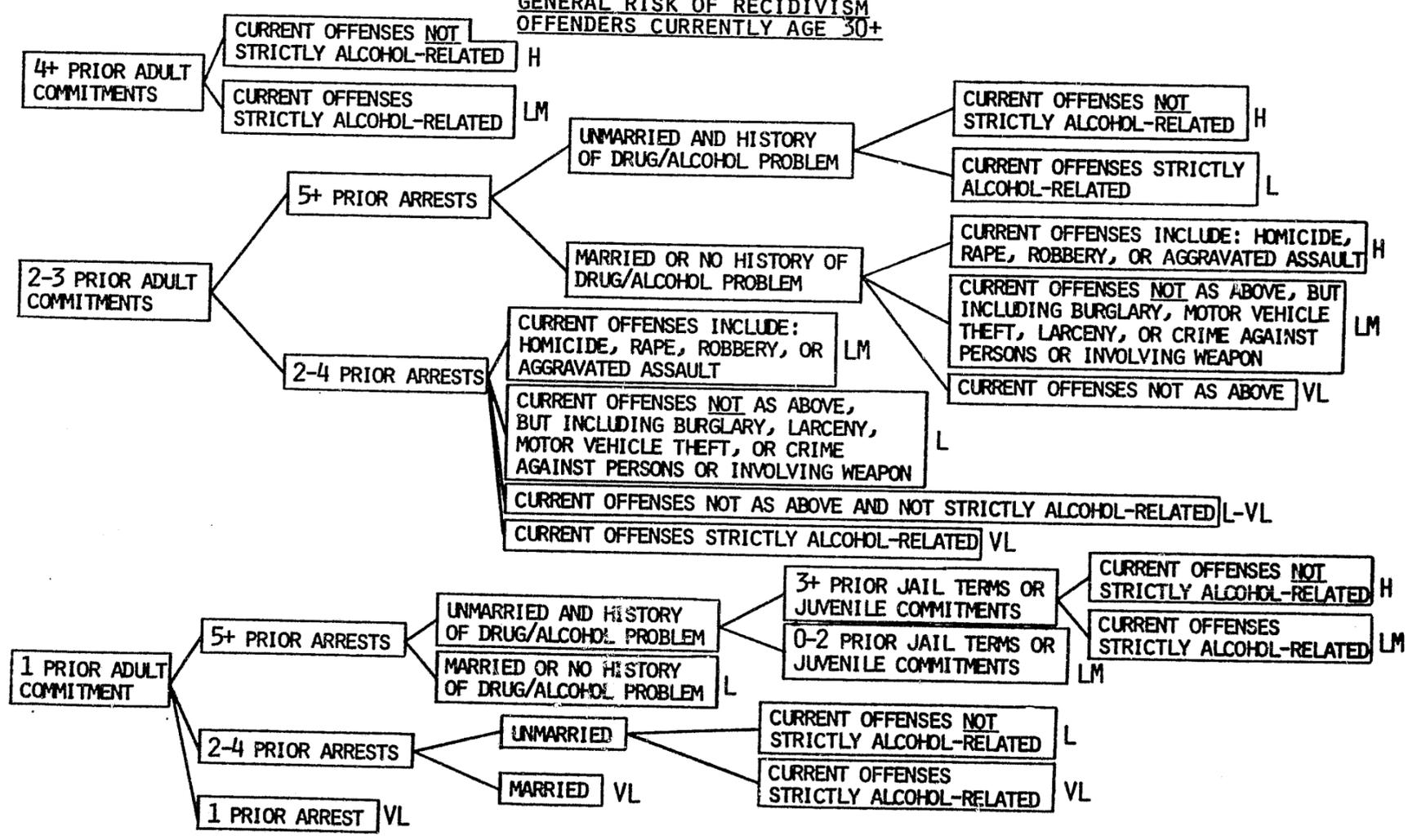
OFFENDER RISK ASSESSMENT  
 STATE OF IOWA  
 GENERAL RISK OF RECIDIVISM  
 OFFENDERS CURRENTLY AGE 25-29

FORM B5



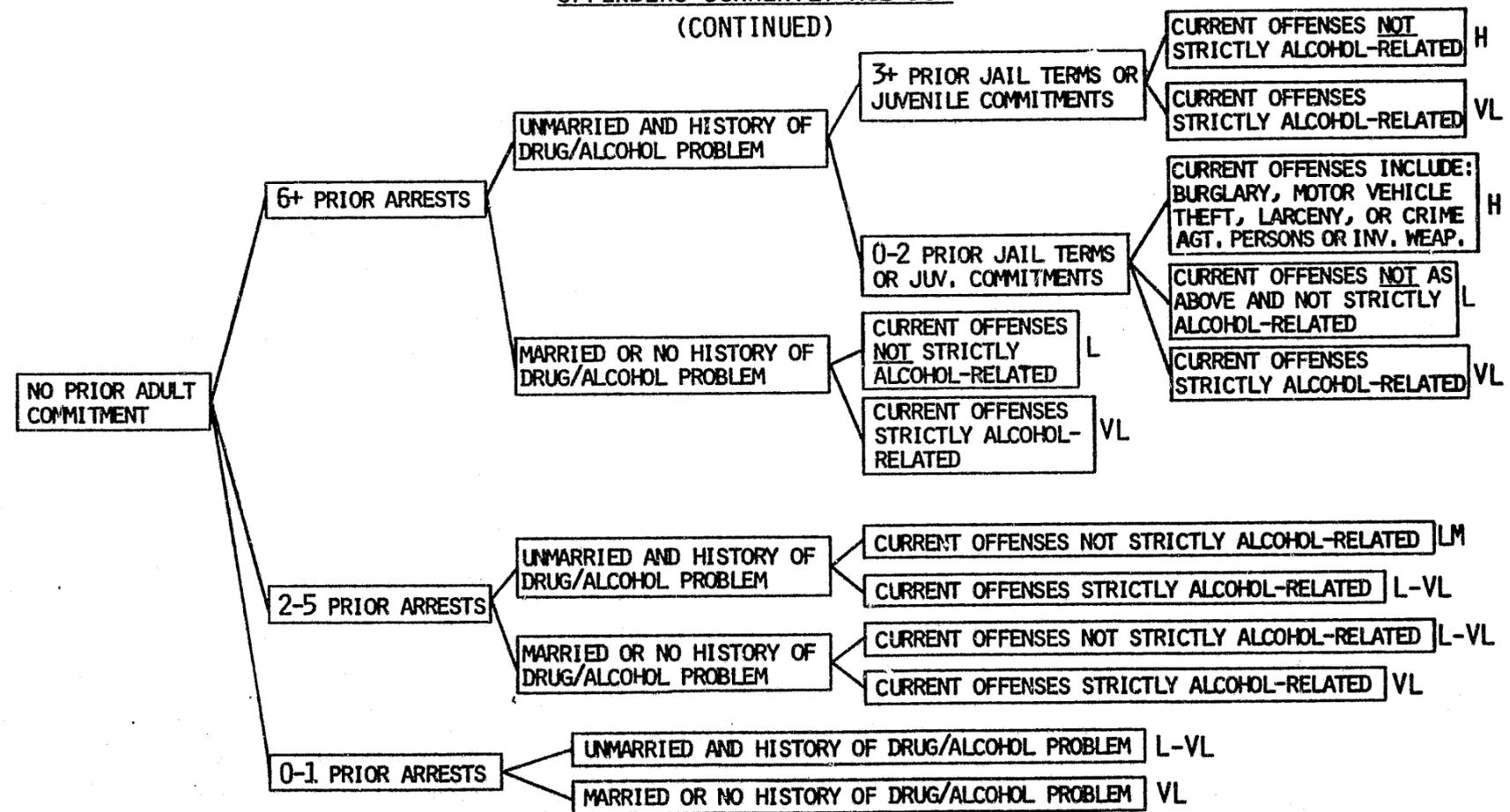
OFFENDER RISK ASSESSMENT  
 STATE OF IOWA  
 GENERAL RISK OF RECIDIVISM  
 OFFENDERS CURRENTLY AGE 30+

FORM B6



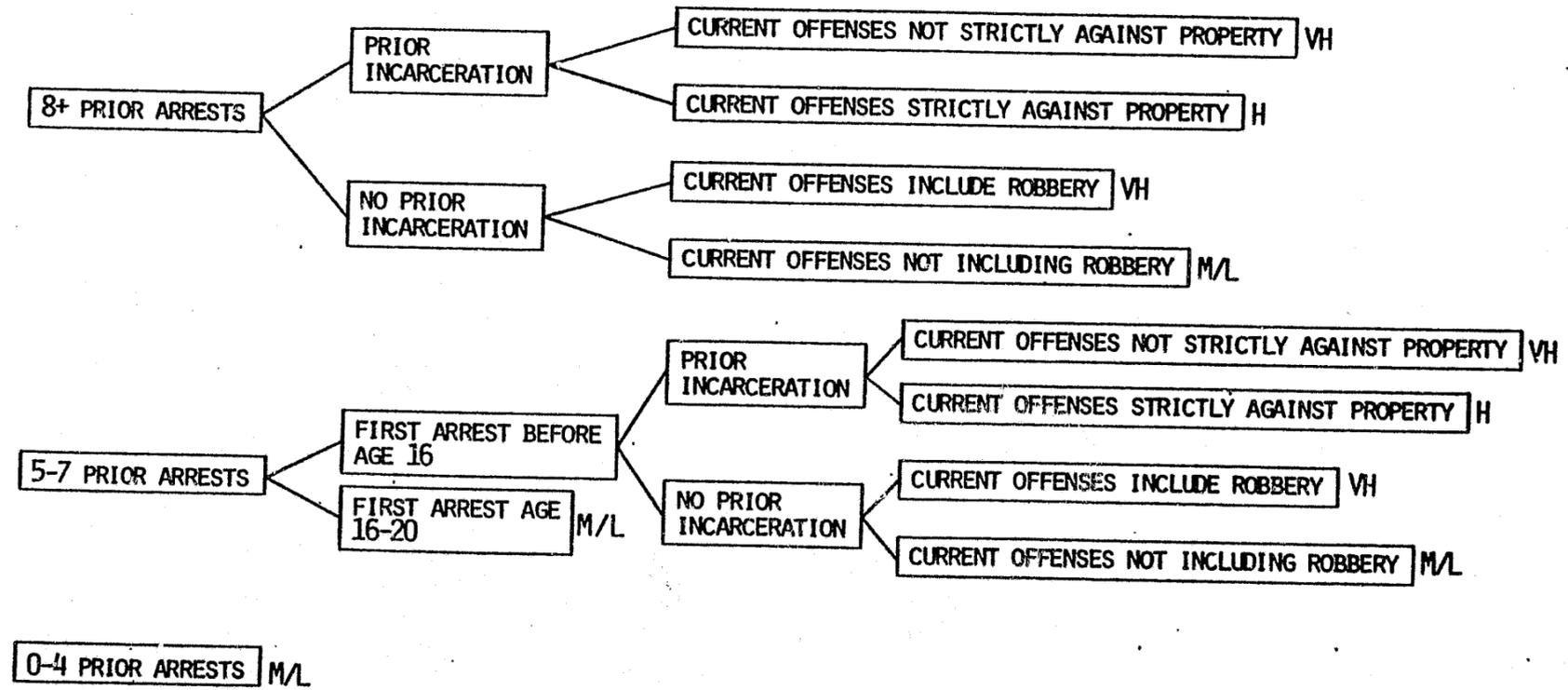
GENERAL RISK OF RECIDIVISM  
OFFENDERS CURRENTLY AGE 30+  
(CONTINUED)

FORM B7



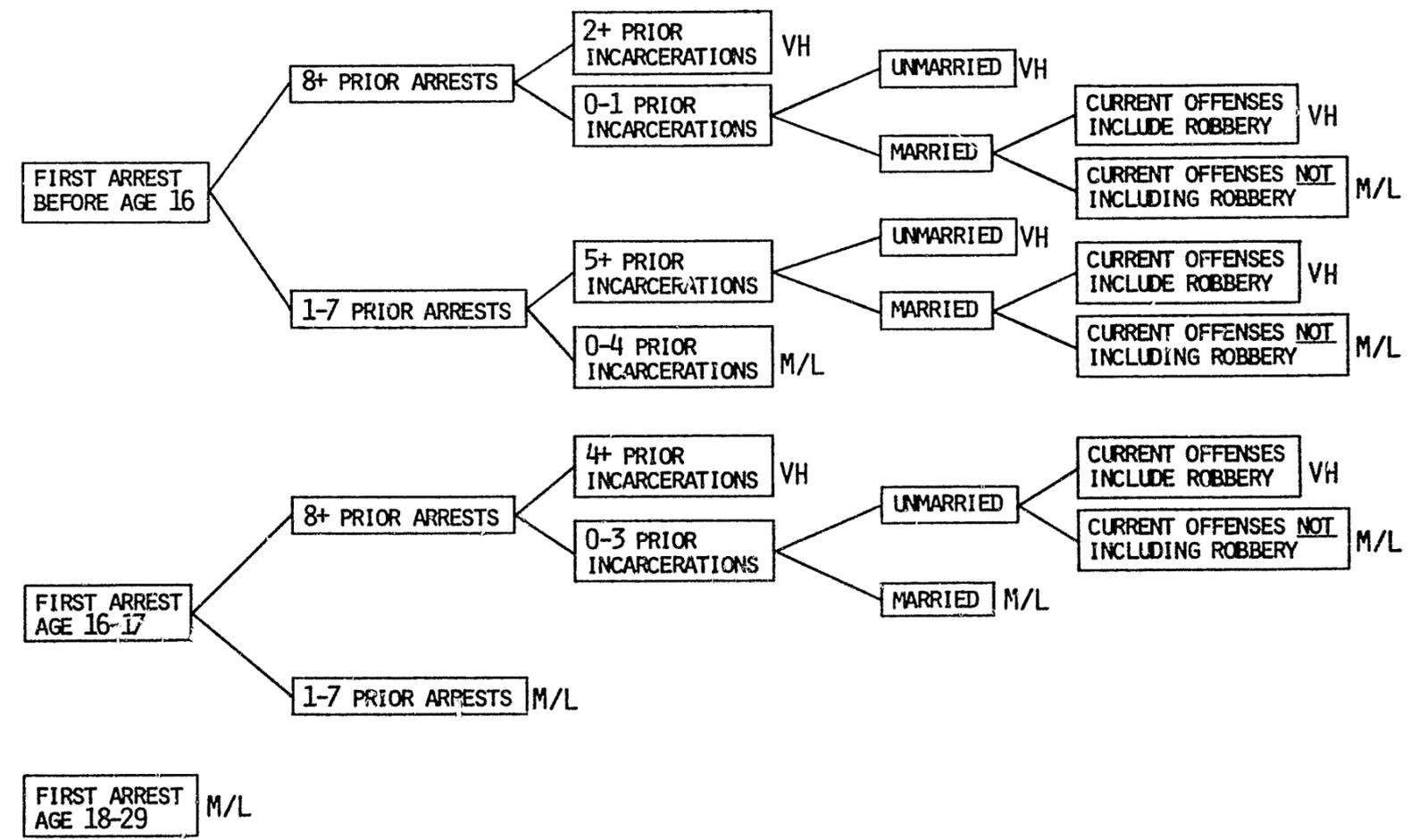
OFFENDER RISK ASSESSMENT  
STATE OF IOWA  
RISK OF VIOLENCE  
OFFENDERS CURRENTLY AGE 18-20

FORM c1



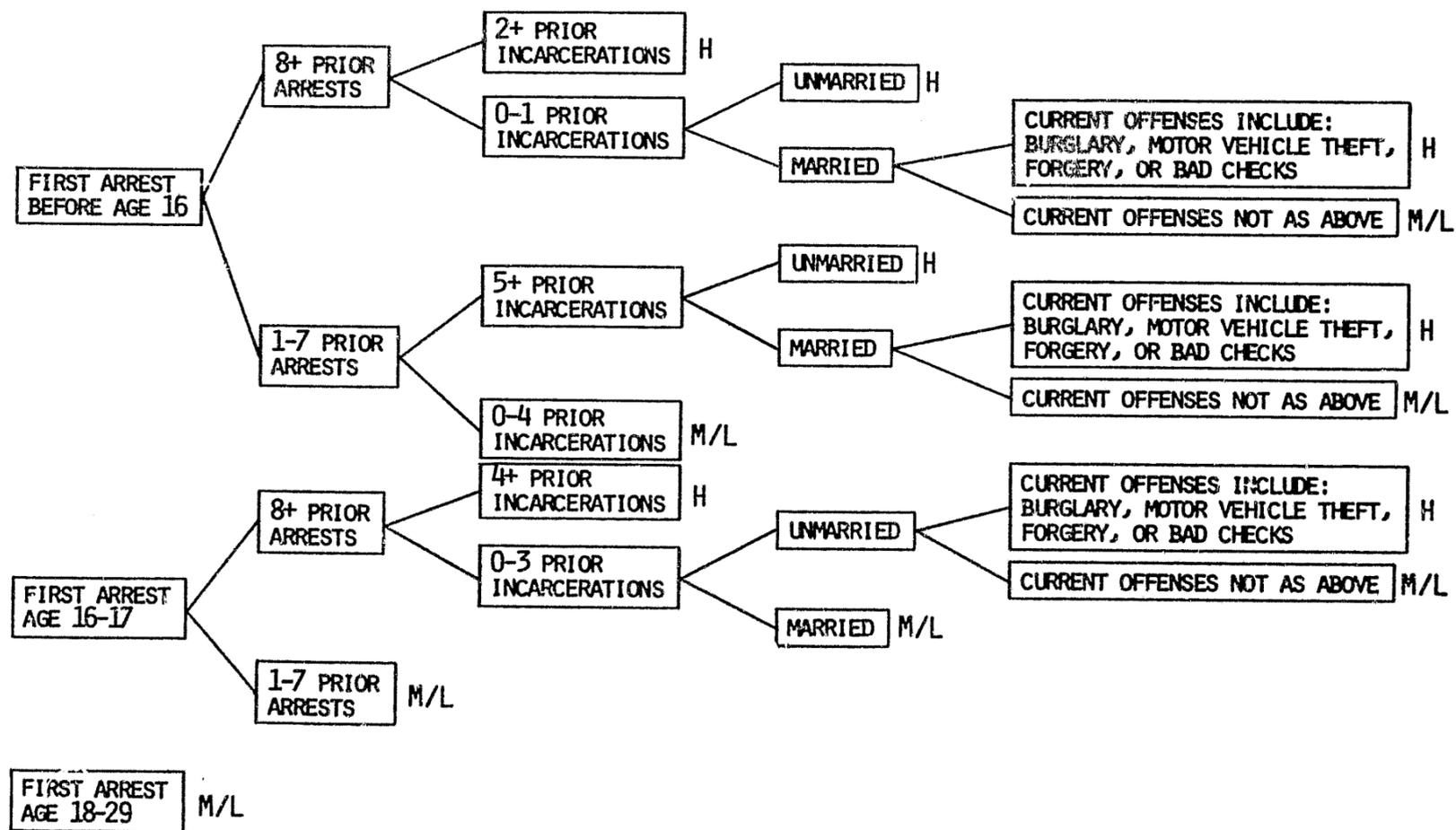
OFFENDER RISK ASSESSMENT  
 STATE OF IOWA  
 RISK OF VIOLENCE  
 OFFENDERS CURRENTLY AGE 21-29  
 AT LEAST ONE CURRENT OFFENSE NOT STRICTLY AGAINST PROPERTY

FORM C2



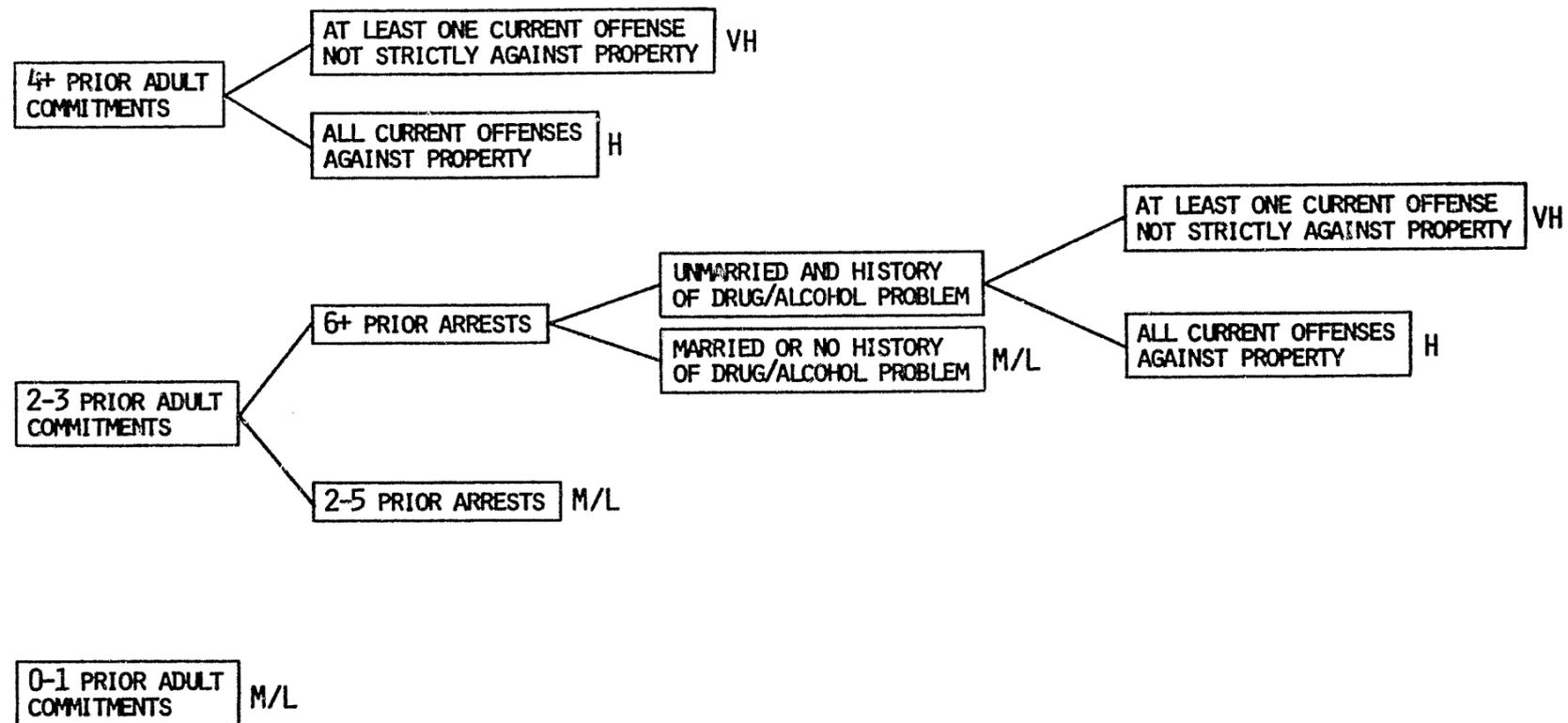
OFFENDER RISK ASSESSMENT  
 STATE OF IOWA  
 RISK OF VIOLENCE  
 OFFENDERS CURRENTLY AGE 21-29  
 ALL CURRENT OFFENSES STRICTLY AGAINST PROPERTY

FORM C3



OFFENDER RISK ASSESSMENT  
STATE OF IOWA  
RISK OF VIOLENCE  
OFFENDERS CURRENTLY AGE 30+

FORM C4



OFFENDER RISK ASSESSMENT  
STATE OF IOWA  
SUPPLEMENTARY ASSESSMENT

FORM D

HIGH RISK (H)

AGE 21-24/5+ PRIOR ARRESTS/FIRST ARREST AGE 18-24

AGE 25-29/8+ PRIOR ARRESTS/FIRST ARREST AGE 18-29/2+ PRIOR ADULT COMMITMENTS

AGE 30-44/8+ PRIOR ARRESTS/FIRST ARREST AGE 20-44/2+ PRIOR ADULT COMMITMENTS

MEDIUM OR LOW RISK (M/L)

ALL OTHER OFFENDERS

OFFENDER RISK ASSESSMENT  
STATE OF IOWA  
GENERAL RISK OF RECIDIVISM  
ADJUSTMENT FOR VIOLENCE/SUPPLEMENTAL RISK

FORM E

Instructions First locate the table below corresponding to the offender's current age group. Then locate the offender's general risk rating to the left side of the table, the appropriate violence/supplemental risk rating to the top of the table, and the adjusted general risk rating in the body of the table.

AGE 18-19

GENERAL RISK RATING	VIOLENCE RISK		
	M/L	H	VH
VH	VH	UH	SR
H	H	UH	SR
LM	LM	UH	SR
L	L	UH	SR
VL	VL	UH	SR

AGE 20-24

GENERAL RISK RATING	VIOLENCE AND SUPPL. RISK BOTH M/L	HIGH VIOLENCE OR HIGH SUPPL. RISK	VERY-HIGH VIOLENCE RISK	
H	H	VH	UH	
HM	HM	H	VH	
LM	LM	H	VH	
L	L	L	L	
VL	VL	VL	VL	

AGE 25-29

GENERAL RISK RATING	VIOLENCE AND SUPPL. RISK BOTH M/L	HIGH SUPPL. RISK	HIGH VIOLENCE RISK	VERY-HIGH VIOLENCE RISK	
H	H	H	UH	SR	
HM	HM	H	UH	SR	
L	L-VL	H	UH	SR	
VL	VL	VL	UH	SR	

AGE 30+

GENERAL RISK RATING	VIOLENCE AND SUPPL. RISK BOTH M/L	HIGH VIOLENCE OR HIGH SUPPL. RISK	VERY-HIGH VIOLENCE RISK	
H	H	VH	UH	
LM	LM	VH	UH	
L	L	L	L	
L-VL	L-VL	L-VL	L-VL	
VL	VL	VL	VL	

OFFENDER RISK ASSESSMENT  
STATE OF IOWA  
GENERAL RISK OF RECIDIVISM  
SMOOTHING FUNCTION

FORM F

COMPONENT A

- 1 Current age 25-29
- 2 Current age 20-24
- 3 Current age 0-19
- 1 No employable skill
- 1 No high school diploma
- 1 Not legally married

\_\_\_ TOTAL SCORE

- RISK RATINGS: 1) 0-2  
2) 3-4  
3) 5-6

COMPONENT B

- 4 3+ prior arrests
- 4 First arrest age 0-17
- 4 Juvenile commitment
- 4 1-3 prior jail/prison/probation
- 8 4+ prior jail/prison/probation
- 3 History of drug/alcohol problem
- 6 History of narcotics use
- 1 Known aliases

\_\_\_ TOTAL SCORE

- RISK RATINGS: 1) 0  
2) 1-3  
3) 4-8  
4) 9-13  
5) 14-20  
6) 21-30

COMPONENT C (current offenses)

- 1 Sex offense agt. juvenile, CMVUI-1st, others not listed below
- 2 Manslaughter, drug offenses except narcotics, CMVUI-2nd or 3rd, stolen property, carrying weapons, vandalism, attempted rape, shoplifting, embezzlement
- 3 Aggravated assault, murder, rape, narcotics, going armed with intent, larceny, fraud except bad checks, crimes against public morals, conspiracy, crimes against public justice and auth.
- 4 Robbery and assault to rob, burglary and attempts, motor vehicle theft, forgery, counterfeiting, bad checks, arson, extortion

RISK RATINGS (as above)

DEFINE THE "RISK PROFILE" OF THE OFFENDER AS THE JUXTAPOSITION OF RISK RATINGS FOR COMPONENTS A, B, C IN THAT ORDER.

COMPOSITE RISK RATING

RISK PROFILES CLASSIFIED AT EACH RATING

VERY-HIGH RISK (VH)	163,164,263,264,353,354,363,364
HIGH RISK (H)	154,162*,244*,253,254,262*,334*,342*,343*,344,351,352,361*,362
HIGH-MEDIUM RISK (HM)	124,134,143,144,152,153,161,223,224,233,234,243,252,261,323,324,332,333
LOW-MEDIUM RISK (LM)	114,123,133,141,142,151,214,232,241,242,251,313,314,322,331,341
LOW RISK (L)	113,131,132,213,222,231,321
VERY-LOW RISK (VL)	111,112,121,122,211,212,221,311,312

\*Rate misdemeanants (excluding aggravated) with these profiles as HIGH-MEDIUM RISK.

**CONTINUED**

**1 OF 2**

OFFENDER RISK ASSESSMENT  
STATE OF IOWA  
GENERAL RISK OF RECIDIVISM  
FINAL ASSESSMENT

FORM G

Instructions Locate the offender's adjusted general risk rating to the left side of the table below, and his or her smoothing factor to the top of the table, circling the corresponding final risk rating in the body of the table.

ADJUSTED GENERAL RISK RATING	SMOOTHING FACTOR					
	VL	L	LM	HM	H	VH
SR	VL	LM	UH	UH	UH	SR
UH	VL	LM	VH	VH	UH	SR
VH	VL	LM	VH	VH	VH	UH
H	VL	LM	H	H	VH	VH
HM	VL	LM	LM	HM	H	H
IM	VL	L	LM	LM	HM	H
L	VL	L	LM	LM	HM	HM
L-VL	VL	L	L	LM	LM	LM
VL	VL	VL	L	L	L	L

OFFENDER RISK ASSESSMENT  
 STATE OF IOWA  
RISK OF VIOLENCE  
FINAL ASSESSMENT

FORM H

Instructions Locate the offender's final general risk rating to the left side of the table below, and his or her (preliminary/previously coded) violence risk rating to the top of the table, the latter located according to whether or not the offender has any current offense against person(s), circling the corresponding final violence risk rating in the body of the table.

FINAL GENERAL RISK RATING	CURRENT OFFENSE AGAINST PERSON(S)			CURRENT OFFENSE NOT AGAINST PERSON(S)		
	RISK OF VIOLENCE			RISK OF VIOLENCE		
	M/L	H	VH	M/L	H	VH
SR	UH	SR	SR	H	VH	UH
UH	UH	SR	SR	H	VH	UH
VH	UH	UH	UH	HM	HM	HM
H	LM	LM	LM	LM	LM	LM
HM	LM	LM	LM	VL	VL	VL
LM	LM	LM	LM	VL	VL	VL
L	L	L	L	VL	VL	VL
VL	L	L	L	N	N	N

OFFENDER RISK ASSESSMENT  
STATE OF IOWA  
RISK RATINGS BY PROCESSING STEP

FORM I

CIRCLE RATINGS AS APPLICABLE

1) GENERAL RISK ASSESSMENT	VH	H	HM	LM	L	L-VL	VL		
2) VIOLENCE RISK ASSESSMENT	VH	H	M/L						
3) SUPPLEMENTARY RISK ASSESSMENT	H	M/L							
4) ADJUSTED GENERAL RISK ASSESSMENT	SR	UH	VH	H	HM	LM	L	L-VL	VL
5) SMOOTHING FUNCTION	VH	H	HM	LM	L	VL			
6) FINAL GENERAL RISK ASSESSMENT	SR	UH	VH	H	HM	LM	L	VL	
7) FINAL VIOLENCE RISK ASSESSMENT	SR	UH	VH	H	HM	LM	L	VL	N

APPENDIX D  
PAROLE GUIDELINE FORMS  
April, 1981 to November, 1982

IOWA PAROLE GUIDELINES SYSTEM

OFFENDER

OFFENSE(S)

PRIOR FELONY AND AGGR.  
MISD. CONVICTIONS -  
JUVENILE AND ADULT

GENERAL AND VIOLENCE RISK RATINGS

HIGH RISK FACTORS

LOW RISK FACTORS

OTHER FACTORS CONSIDERED

GUIDELINE RANGE      BASIC:

CURRENT:

CURRENT RECOMMENDATION

COMMENTS

STATE OF IOWA  
 PRESCRIPTIVE PAROLE GUIDELINES  
 EXPECTED MONTHS TO BE SERVED PRIOR TO PAROLE  
 BASED ON OFFENSE SEVERITY, PRIOR FELONY RECORD, AND GENERAL/VIOLENCE RISK ASSESSMENT

GENERAL RISK RATING/ PRIOR FELONY RECORD	OFFENSE SEVERITY						
	CLASS B FELONY	CLASS C FELONY		CLASS D FELONY		AGGRAV. MISDEMEANOR	
		AGAINST PERSONS	NOT AGAINST PERSONS	AGAINST PERSONS	NOT AGAINST PERSONS	AGAINST PERSONS	NOT AGAINST PERSONS
<b>SUPER RECIDIVIST</b>							
<b><u>VIOLENCE RISK</u></b>							
<b>SUPER RECIDIVIST</b>							
TWO+ PRIOR PRISON TERMS	82-86	58-62	----	38-41	----	20-22	----
ONE PRIOR PRISON TERM	78-82	55-59	----	36-39	----	19-21	----
NO PRIOR PRISON TERM	74-78	52-56	----	34-37	----	18-20	----
NO PRIOR FELONY CONV.	70-74	49-53	----	32-35	----	17-19	----
<b>ULTRA-HIGH RISK</b>							
TWO+ PRIOR PRISON TERMS	70-74	49-53	41-44	34-36	31-33	18-20	17-18
ONE PRIOR PRISON TERM	66-70	46-50	39-42	32-35	29-31	17-19	16-17
NO PRIOR PRISON TERM	62-66	43-47	37-40	30-33	27-29	16-18	15-16
NO PRIOR FELONY CONV.	58-62	40-44	35-38	28-31	25-27	15-17	14-15
<b>VERY-HIGH RISK</b>							
TWO+ PRIOR PRISON TERMS	----	----	38-41	----	29-31	----	16-17
ONE PRIOR PRISON TERM	----	----	36-39	----	27-29	----	15-16
NO PRIOR PRISON TERM	----	----	34-37	----	25-27	----	14-15
NO PRIOR FELONY CONV.	----	----	32-35	----	23-25	----	13-14
<b>HIGH RISK</b>							
TWO+ PRIOR PRISON TERMS	----	----	35-38	----	27-29	----	15-16
ONE PRIOR PRISON TERM	----	----	33-36	----	25-27	----	14-15
NO PRIOR PRISON TERM	----	----	31-34	----	23-25	----	13-14
NO PRIOR FELONY CONV.	----	----	29-32	----	21-23	----	12-13

(continued)

STATE OF IOWA  
 PRESCRIPTIVE PAROLE GUIDELINES  
 EXPECTED MONTHS TO BE SERVED PRIOR TO PAROLE  
 BASED ON OFFENSE SEVERITY, PRIOR FELONY RECORD, AND GENERAL/VIOLENCE RISK ASSESSMENT  
 (continued)

GENERAL RISK RATING/ PRIOR FELONY RECORD	OFFENSE SEVERITY						
	CLASS B FELONY	CLASS C FELONY		CLASS D FELONY		AGGRAV. MISDEMEANOR	
		AGAINST PERSONS	NOT AGAINST PERSONS	AGAINST PERSONS	NOT AGAINST PERSONS	AGAINST PERSONS	NOT AGAINST PERSONS
<b>ULTRA-HIGH RISK</b>							
<b><u>VIOLENCE RISK</u></b>							
<b>SUPER RECIDIVIST</b>							
TWO+ PRIOR PRISON TERMS	73-77	53-57	-----	34-37	-----	18-20	-----
ONE PRIOR PRISON TERM	69-73	50-54	-----	32-35	-----	17-19	-----
NO PRIOR PRISON TERM	65-69	47-51	-----	30-33	-----	16-18	-----
NO PRIOR FELONY CONV.	61-65	44-48	-----	28-31	-----	15-17	-----
<b>ULTRA-HIGH RISK</b>							
TWO+ PRIOR PRISON TERMS	61-65	44-48	36-39	30-33	27-29	16-18	15-16
ONE PRIOR PRISON TERM	57-61	41-45	34-37	28-31	25-27	15-17	14-15
NO PRIOR PRISON TERM	53-57	38-42	32-35	26-29	23-25	14-16	13-14
NO PRIOR FELONY CONV.	49-54	35-39	30-33	24-27	21-23	13-15	12-13
<b>VERY-HIGH RISK</b>							
TWO+ PRIOR PRISON TERMS	-----	-----	33-36	-----	25-27	-----	14-15
ONE PRIOR PRISON TERM	-----	-----	31-34	-----	23-25	-----	13-14
NO PRIOR PRISON TERM	-----	-----	29-32	-----	21-23	-----	12-13
NO PRIOR FELONY CONV.	-----	-----	27-30	-----	19-21	-----	11-12
<b>HIGH RISK</b>							
TWO+ PRIOR PRISON TERMS	-----	-----	30-33	-----	23-25	-----	13-14
ONE PRIOR PRISON TERM	-----	-----	28-31	-----	21-23	-----	12-13
NO PRIOR PRISON TERM	-----	-----	26-29	-----	19-21	-----	11-12
NO PRIOR FELONY CONV.	-----	-----	24-27	-----	17-19	-----	10-11
<b>VERY-HIGH RISK</b>							
TWO+ PRIOR PRISON TERMS	55-60	40-44	26-29	26-29	19-21	14-16	11-12
ONE PRIOR PRISON TERM	51-56	37-41	24-27	24-27	17-19	13-15	10-11
NO PRIOR PRISON TERM	47-52	34-38	22-25	22-25	15-17	12-14	9-10
NO PRIOR FELONY CONV.	43-48	31-35	20-23	20-23	13-15	11-13	8-9

(continued)

STATE OF IOWA  
 PRESCRIPTIVE PAROLE GUIDELINES  
 EXPECTED MONTHS TO BE SERVED PRIOR TO PAROLE  
 BASED ON OFFENSE SEVERITY, PRIOR FELONY RECORD, AND GENERAL/VIOLENCE RISK ASSESSMENT  
 (continued)

GENERAL RISK RATING/ PRIOR FELONY RECORD	OFFENSE SEVERITY						
	CLASS B FELONY	CLASS C FELONY		CLASS D FELONY		AGGRAV. MISDEMEANOR	
		AGAINST PERSONS	NOT AGAINST PERSONS	AGAINST PERSONS	NOT AGAINST PERSONS	AGAINST PERSONS	NOT AGAINST PERSONS
<b>HIGH RISK</b>							
TWO+ PRIOR PRISON TERMS	43-48	31-35	23-26	20-23	17-19	10-12	9-10
ONE PRIOR PRISON TERM	39-44	28-32	21-24	18-21	15-17	9-11	8-9
NO PRIOR PRISON TERM	35-40	25-29	19-22	16-19	13-15	8-10	7-8
NO PRIOR FELONY CONV.	31-36	22-26	17-20	14-17	11-13	7-9	6-7
<b>HIGH-MEDIUM RISK</b>							
TWO+ PRIOR PRISON TERMS	38-43	28-32	20-23	18-21	15-17	8-10	7-8
ONE PRIOR PRISON TERM	34-39	25-29	18-21	16-19	13-15	7-9	6-7
NO PRIOR PRISON TERM	30-35	22-26	16-19	14-17	11-13	6-8	5-6
NO PRIOR FELONY CONV.	26-31	19-23	14-17	12-15	9-11	5-7	4-5
<b>LOW-MEDIUM RISK</b>							
TWO+ PRIOR PRISON TERMS	35-40	25-29	18-21	16-19	13-15	7-9	6-7
ONE PRIOR PRISON TERM	31-36	22-26	16-19	14-17	11-13	6-8	5-6
NO PRIOR PRISON TERM	27-32	19-23	14-17	12-15	9-11	5-7	4-5
NO PRIOR FELONY CONV.	23-28	16-20	12-15	10-13	7-9	4-6	3-4
<b>LOW RISK</b>							
TWO+ PRIOR PRISON TERMS	32-37	22-26	16-19	14-17	11-13	6-8	5-6
ONE PRIOR PRISON TERM	28-33	19-23	14-17	12-15	9-11	5-7	4-5
NO PRIOR PRISON TERM	24-29	16-20	12-15	10-13	7-9	4-6	3-4
NO PRIOR FELONY CONV.	20-25	13-17	10-13	8-11	5-7	3-5	2-3
<b>VERY-LOW RISK</b>							
TWO+ PRIOR PRISON TERMS	29-34	19-23	14-17	12-15	9-11	5-7	4-5
ONE PRIOR PRISON TERM	25-30	16-20	12-15	10-13	7-9	4-6	3-4
NO PRIOR PRISON TERM	21-26	13-17	10-13	8-11	5-7	3-5	2-3
NO PRIOR FELONY CONV.	17-22	10-14	8-11	6-9	3-5	2-4	1-2

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STATE OF IOWA  
 PRESCRIPTIVE PAROLE GUIDELINES  
 EXPECTED MONTHS TO BE SERVED PRIOR TO PAROLE  
 SUPPLEMENTARY SCHEDULE FOR AGGRAVATING FACTORS

PROBATION REVOCATION

- 3 Technical
- 4 New Misdemeanor
- 5 New Felony

MULTIPLE CHARGES (Beyond Most Serious)

	<u>Con-</u> <u>current</u>	<u>Con-</u> <u>secutive</u>
Class B Felony - Against Persons	10	20
Class C Felony - Against Persons	6	12
Class C Felony - Not Against Persons	4	8
Class D Felony - Against Persons	4	8
Class D Felony - Not Against Persons	3	6
Aggravated Misdemeanor - Against Persons	3	6
Aggravated Misdemeanor - Not Against Persons	2	4

AGGRAVATION IN CURRENT OFFENSE

Homicide	12	18	24
Sexual Assault		6	12
Serious Injury		6	12

INSTITUTIONAL FACTORS

Escape or Work Release Revocation	8	10	12
Parole Revocation	12	18	24
Institutional Misconduct	2 X Time Lost		
	(round to nearest month)		